



# **GUIDELINES FOR APPOINTMENT, PROMOTION and TENURE**

*Emory School of Medicine*

**2017**

## **GUIDELINES FOR APPOINTMENT, PROMOTION, AND TENURE EMORY UNIVERSITY SCHOOL OF MEDICINE**

### **I. IMPLEMENTATION**

These *Guidelines for Appointment, Promotion, and Tenure (Guidelines)* are fully effective September 1, 2017, and apply to all faculty appointments, promotions, and grant of tenure in the School of Medicine (School).<sup>1</sup>

Departments may adopt these *Guidelines* and so inform the Dean or Departments may propose additional qualifying terms to these *Guidelines*, provided that they comply and do not conflict with Emory University (University) policy, subject to approval by the Dean.

### **II. GENERAL POLICY STATEMENTS**

All recommendations for faculty appointment and promotion by the School, or grant of tenure by the University, are based on qualifications without regard to race, color, religion, sex, sexual orientation, age, ethnic or national origin, disability, or veteran status, except where sex or religion are bona fide occupational requirements, or where a specific disability constitutes a bona fide occupational disqualification.

All policies, procedures, and actions regarding faculty appointment, promotion, grant of tenure, or termination conform to the *University Bylaws (Bylaws)* and the *Statement of Principles Governing Faculty Relationships (Statement)*. Individuals appointed to the faculty of the School are subject to all Departmental, School, and University policies, guidelines, and procedures as they exist at the time of appointment or are changed during the period of the faculty appointment, as well as to any applicable governmental laws and regulations.

### **III. GOALS AND PRINCIPLES**

These *Guidelines* are based on the principle that the full spectrum of faculty activities that contribute to the academic mission is valued and deserves recognition. The goal is to provide a framework that allows flexibility in assessing and rewarding the unique achievements and contributions of each faculty member. Fundamentally, all faculty are expected to strive for and achieve excellence and innovation in their major area of academic focus, whether it be scholarship, teaching or professional service, and to make substantial contributions to the other missions. Candidates for promotion are expected to develop outstanding institutional, regional, and national reputations, to become leaders in their fields, and to maintain the high standards that are a hallmark of our faculty.

Appointment as a faculty member in the School of Medicine involves bidirectional obligations between the institution and the faculty member as outlined below.

#### **Obligations of the School to the faculty member:**

1. Protect the right of each faculty member to academic freedom; that is, the right to pursue knowledge and to write and speak freely as responsible scholars without institutionally imposed, arbitrary restrictions.
2. Judge a faculty member as a researcher, educator, clinician, and/or program builder, based solely on legitimate intellectual and professional criteria and without regard to race, color, religion, sex, sexual orientation, age, ethnic or national origin, disability, or veteran status, or any factor prohibited under University policy or applicable law.
3. Provide an intellectual environment, appropriate workspace, and opportunity for scholarly achievement.

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<sup>1</sup> Please see section VII.G.4 for details on promotion actions during the transition period.

4. Provide opportunity for academic advancement and to consider appointments and promotions to faculty positions/ranks on the basis of established criteria and procedures.
5. Provide compensation appropriate to rank, responsibilities, and accomplishments for the services of its faculty.

#### **Obligations of the faculty member to the School:**

1. Carry out assigned academic duties.
2. Teach, conduct research, and/or care for patients with professional competence, intellectual honesty, and high ethical and professional standards in accordance with applicable policies.
3. Develop and continuously improve one's professional abilities.
4. Continuously achieve academic productivity consistent with the expectations of one's academic rank.
5. Practice responsible financial stewardship.
6. Participate in advisory or committee assignments necessary for the development of academic programs, in advising students, and in the governance of the School.
7. Devote one's professional energies to activities that further the goals and mission of the School and to share in the more general responsibilities of faculty to the University, the local community, and society at large.

#### **IV. LIMITED AND CONTINUOUS APPOINTMENTS AND FACULTY RANKS**

Limited (non-continuous, non-tenured) appointments are granted for a period of time specified in writing to the appointee (usually one year for full-time faculty) and shall be renewed annually unless written notice of non-renewal is provided to the faculty member in accordance with the *Statement* or unless the letter of appointment to the School faculty specifies a terminal employment period of one year or less. Continuous (tenured) appointments may not be terminated, except as described in the *Statement*.

The following ranks are available for appointment or promotion of full-time or part-time faculty. Expected levels of academic accomplishment increase with each rank.

1. **Associate and Senior Associate** (limited, non-continuous appointments)
2. **Instructor** (limited, non-continuous appointment)
3. **Assistant Professor** (limited, non-continuous appointment)
4. **Associate Professor** (limited or, for faculty who have been granted tenure, continuous)
5. **Professor** (limited or, for faculty who have been granted tenure, continuous)

#### **V. CRITERIA FOR APPOINTMENT AND PROMOTION**

##### **A. Overview**

Candidates for appointment or promotion to the School faculty are expected to show academic excellence and to participate in all three missions: scholarship, teaching, and professional service. All faculty members must have received their terminal professional degree,<sup>2</sup> and those who provide clinical services must obtain and maintain medical staff privileges and managed care credentialing to perform clinical duties at the healthcare facilities in which they are assigned to practice. In accordance with University policy, non-tenured faculty at junior ranks in the School who wish to attain a continuous appointment must do so within an 11-year period. [See Section VII.B.] At the initial appointment, a faculty member shall be placed on the tenure path, if

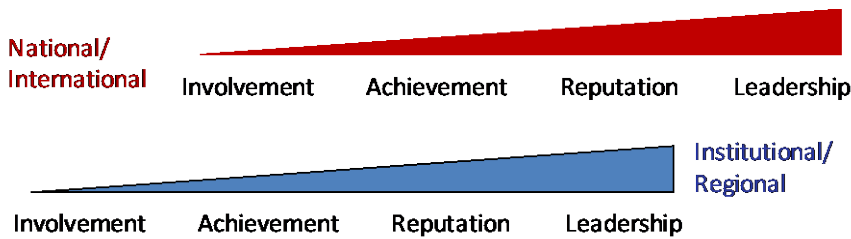
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<sup>2</sup> Terminal degree is defined as the nationally accepted terminal degree in the candidate's field at the time the degree was awarded.

applicable, or declare an area of distinction (scholarship, teaching or service) that best represents his/her intended academic career path. This declaration is non-binding, retains tenure eligibility, and may be changed at the time of promotion.

**B. General requirements for scholarship, teaching, and professional service**

The level of accomplishment in each mission area shall be judged as involvement, achievement, reputation or leadership. Benchmarks have been established at each rank for scholarship (**Table 1**) and for teaching and professional service at the institutional/regional levels (**Tables 2-3**) and the national/international levels (**Tables 4-5**). The level of accomplishment attained in each mission area shall be judged as the highest level at which a



candidate demonstrates a sustained pattern of activity. Levels of accomplishment and their relative weights are summarized in the figure below. Criteria can be met by a blend of national/international and institutional/regional accomplishments in equivalent categories.

**1. Scholarship.** All candidates for appointment or promotion to Associate Professor or Professor shall have demonstrated some accomplishment in scholarly endeavors. Scholarship is defined as the development and dissemination of new knowledge or of new insights into existing knowledge. Scholarly activity also may consist of innovative conceptualizations or novel solutions to health problems that have received national recognition; or of research on, and application of, new concepts in biomedical education. Regardless of its form, the candidate’s scholarship must provide promise of continued and recognized creativity. Representative examples of benchmarks for scholarship can be found in **Table 1**.

**2. Teaching.** Candidates who are proposed for appointment or promotion based primarily on their teaching accomplishments shall have demonstrated skill in and dedication to high quality teaching and a capacity and a desire to maintain teaching effectiveness throughout their careers. A candidate’s contributions in teaching may include instruction of undergraduate, graduate, and/or post-graduate trainees; sharing knowledge with patients, families, and/or the community; delivering educational presentations to their peers at professional meetings and/or continuing medical education courses; directing one-on-one teaching in the laboratory and/or at the bedside; and mentoring. The quality of a candidate's teaching shall be demonstrated in a teaching portfolio that describes and documents in detail the educational activities of the faculty member. Representative examples of benchmarks for institutional/regional teaching can be found in **Table 2** and for national/international teaching in **Table 4**.

**3. Professional Service.** Candidates who are proposed for appointment or promotion based primarily on their accomplishments in professional service shall have demonstrated contributions to high quality patient care as well as citizenship in the School/University and their professional communities. Evidence of professional skill, medical knowledge, humanistic concern for patients and families, collegiality and the innovative application of techniques and knowledge is required. Citizenship to the professional community involves committee work, conference organization, and peer review, among other activities. The quality of a candidate's service shall be demonstrated in a service portfolio that describes and documents in detail the professional service contributions of the faculty member. Representative examples of benchmarks for institutional/regional professional service can be found in **Table 3** and for national/international professional service in **Table 5**.

**Table 1: Representative Examples of Scholarship Benchmarks for Promotion.** Candidates will be evaluated on quantity, quality, and impact of their accomplishments. They should have demonstrated a sustained pattern of scholarly activities in rank that should include multiple items at the applicable or greater benchmark:

Scholarship Benchmarks	
<b>Involvement</b>	<ul style="list-style-type: none"> <li>• Occasional publications in rank primarily as middle author*</li> <li>• Occasional co-investigator roles on grants or contracts</li> <li>• Investigator role(s) on local or institutional pilot or seed grants or team science projects</li> <li>• Scholarly presentations at regional venues</li> <li>• Authorship on abstracts presented at professional meetings</li> <li>• Authorship on educational materials</li> <li>• Authorship on case reports</li> <li>• Contributions to textbooks</li> <li>• Creator or editor of local or regional newsletters, blogs, or other media disseminating clinical, educational, or scholarly information</li> </ul>
<b>Achievement</b>	<ul style="list-style-type: none"> <li>• Continuous publication record in mid-quartile journals, some as first/last author</li> <li>• Multiple sub-investigator or co-investigator roles on grants or contracts, including team science projects</li> <li>• PI role on extramural grant(s), including site-PI or project PI</li> <li>• Authorship of peer-reviewed review articles in mid-quartile journals</li> <li>• Presenting or senior authorship on oral abstract presentations at national meetings</li> <li>• Multiple scholarly recognition awards (e.g., travel awards, abstract awards, etc.) from professional societies</li> <li>• Substantial evidence of long-term innovative/transformational intellectual contributions to success of the team</li> <li>• Authorship on issued patents</li> </ul>
<b>National/ International Reputation</b>	<ul style="list-style-type: none"> <li>• Continuous publication record with some first/last authorship on publications in leading refereed journals**</li> <li>• Sustained record of federal, foundation, or industry funding with some as principal investigator, project leader, program director, and/or core leader, some currently active**</li> <li>• Multiple site-PI roles on grants or contracts</li> <li>• Mission-critical investigator roles on multiple funded team science projects</li> <li>• Invited authorship on important review articles, chapters, and books</li> <li>• Invited editorials or commentaries in leading journals</li> <li>• Invited research presentations at national meetings</li> <li>• Invited scientific lectures at outside institutions</li> <li>• Authorship of licensed patents</li> </ul>
<b>National/ International Leadership</b>	<ul style="list-style-type: none"> <li>• Continuous publication record with some publications in highest impact journals**</li> <li>• Sustained record of federal, foundation, or industry funding as principal investigator, project leader, and/or program director **</li> <li>• Study chair or PI roles on large multi-investigator grants, contracts, or clinical trials</li> <li>• Numerous invited lectures, possibly including keynote presentations, at national or international meetings based on original research</li> <li>• Named lectureships, or multiple lecture invitations, at outside institutions</li> <li>• Paradigm-shifting research contributions as assessed by peers</li> <li>• National/international research recognition awards</li> </ul>

\*indicates mandatory benchmark

\*\*Indicates a mandatory benchmark to achieve the indicated ranking in scholarship for tenure decisions

**Table 2: Representative Examples of Institutional/Regional Teaching Benchmarks for Promotion.** Candidates will be evaluated on quantity, quality, and impact of their accomplishments. They should have demonstrated a sustained pattern of teaching activities in rank that should include multiple items at the applicable or greater benchmark:

<b>Institutional/Regional Teaching Benchmarks</b>	
<b>Involvement</b>	<ul style="list-style-type: none"> <li>• Teaching/mentoring residents or students in the context of patient care or research</li> <li>• Delivering occasional lectures for a course</li> <li>• Participating in regular small group teaching sessions</li> <li>• Earning consistently favorable teaching evaluations</li> <li>• Serving as primary mentor for Discovery or similar programs</li> <li>• Serving as a member of thesis committees</li> <li>• Sharing new scholarly approaches with community or referring physicians</li> <li>• Providing patient group or community education</li> </ul>
<b>Achievement</b>	<ul style="list-style-type: none"> <li>• Regularly participating in teaching at least one course or lecturing in multiple settings</li> <li>• Leading regular small group teaching sessions</li> <li>• Receiving a Division or Department teaching award</li> <li>• Advising (mentoring) some PhD students and postdoctoral fellows and other trainees</li> <li>• Serving as primary mentor for master of science in clinical research, master of public health or similar programs</li> <li>• Mentoring visiting scholars or clinicians</li> <li>• Serving on Division or Department education/curriculum committees or task forces</li> <li>• Serving in a supportive leadership role of large, accredited training or graduate programs (e.g., Assistant Program Director, Site Director, etc.)</li> <li>• Delivering invited educational lectures in regional CME courses or grand rounds</li> </ul>
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Developing and leading a School or University course or teaching regularly in multiple courses</li> <li>• Serving as Medical Student Society Advisor or Leader</li> <li>• Earning a School, University, or regional teaching award or multiple departmental awards</li> <li>• Having a sustained track record of advising/mentoring PhD students, residents, fellows, and other trainees</li> <li>• Serving on multiple School or regional education committees</li> <li>• Leading a major Division or Department education/curriculum committee or task force</li> <li>• Developing an innovative teaching methodology or training program</li> <li>• Serving in a leadership role of accredited Allied Health, training, or graduate medical programs</li> <li>• Serving as Graduate Program Director/Director of Graduate Studies</li> <li>• Developing or directing regional courses or CME programs</li> </ul>
<b>Leadership*</b>	<ul style="list-style-type: none"> <li>• Serving as Assistant, Associate, or Executive Associate Dean for Education</li> <li>• Leading a School-wide accreditation effort</li> </ul>

\* The candidate should be recognized nationally for their institutional leadership role.

**Table 3: Representative Examples of Institutional/Regional Professional Service Benchmarks for Promotion.**

Candidates will be evaluated on quantity, quality, and impact of their accomplishments. They should have demonstrated a sustained pattern of service activities in rank that should include multiple items at the applicable or greater benchmark:

<b>Institutional/Regional Professional Service Benchmarks</b>	
<b>Involvement</b>	<ul style="list-style-type: none"> <li>• Providing high-quality patient care</li> <li>• Participating in quality improvement activities</li> <li>• Participating in Divisional or Departmental service activities</li> <li>• Participating in a hospital committee</li> <li>• Organizing recurring Departmental meetings (e.g., grand rounds, M&amp;M conferences)</li> <li>• Advising community or patient advocacy groups</li> </ul>
<b>Achievement</b>	<ul style="list-style-type: none"> <li>• Providing clinical service above and beyond peers in quantity and quality</li> <li>• Leading quality improvement teams</li> <li>• Developing a clinical program that attracts patients from the state or region</li> <li>• Chairing a Divisional, Departmental, or Hospital committee or serving on multiple committees</li> <li>• Serving as a member of major University or School committees</li> <li>• Receiving a Division/Department service award</li> <li>• Serving in a substantial Division role (e.g., Section Chief, etc.)</li> <li>• Serving in a leadership role of small accredited training or graduate programs</li> <li>• Serving in a supportive leadership role of large accredited training or graduate programs (e.g., Assistant Program Director, Site Director, etc.)</li> <li>• Serving as Director of a core facility/service center</li> <li>• Serving on the organizing committee of a regional meeting</li> <li>• Participating as a committee member for a state/regional society</li> </ul>
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Leading a core program/service center that has a regional impact</li> <li>• Chairing major University, School, or health system committees or serving on multiple institution-wide committees</li> <li>• Receiving major institutional service awards</li> <li>• Serving in a leadership role of accredited Allied Health, training, or graduate medical programs</li> <li>• Serving in a Departmental leadership role (e.g., Department Vice Chair, Division Chief, Section Chief, etc.)</li> <li>• Holding a titled leadership position within the School, University, or healthcare partner (e.g., Chief Quality Officer, Chief Medical Officer, Hospital Service Chief, etc.)</li> <li>• Leading/developing a center that involves multiple departments, schools, or other components of the institution</li> <li>• Serving as committee chair or elected officer for state or regional organizations</li> <li>• Serving as chair of the program organizing committee for local or regional CME meetings</li> <li>• Serving in advisory roles for local or regional governmental agencies</li> <li>• Earning service awards from state or regional professional societies or medical organizations</li> </ul>
<b>Leadership*</b>	<ul style="list-style-type: none"> <li>• Serving as Department Chair, Executive Associate Dean, Dean, Executive Vice President for Health Affairs, President, or the equivalent</li> <li>• Serving as president of a major regional chapter of a national organization</li> </ul>

\*The candidate should be recognized nationally for their institutional/regional leadership role.



**Table 4: Representative Examples of National/International Teaching Benchmarks for Promotion.** Candidates will be evaluated on quantity, quality, and impact of their accomplishments. They should have demonstrated a sustained pattern of teaching activities in rank that should include multiple items at the applicable or greater benchmark:

<b>National/International Teaching Benchmarks</b>	
<b>Involvement</b>	<ul style="list-style-type: none"> <li>• Contributing to a major textbook</li> <li>• Coauthoring education-related publications</li> <li>• Contributing to educational materials that are used on a national level, such as videos, manuals, blogs, and other teaching aids</li> </ul>
<b>Achievement</b>	<ul style="list-style-type: none"> <li>• Serving in a non-PI leadership role on educational grants to the University</li> <li>• Providing educational appearances for national media outlets</li> <li>• Developing educational materials that are used on a national level, such as videos, manuals, blogs, and other teaching aids</li> <li>• Teaching occasionally at a national workshop/course or delivering occasional educational lectures</li> <li>• Serving as editor of an education-related manual</li> <li>• Serving on national education committees</li> </ul>
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Being an invited author of chapters in major textbooks</li> <li>• Garnering a continuous record of peer-reviewed publications in the field of education with some as primary author</li> <li>• Providing invited education-based presentations at peer institutions nationally (e.g., grand rounds)</li> <li>• Participating as lecturing faculty in CME workshops with a national audience or frequently presenting invited educational lectures</li> <li>• Organizing educational courses/workshops at national venues</li> <li>• Serving as a consultant, peer reviewer, or site visitor for development/assessment of clinical and scientific training programs</li> <li>• Having sustained membership on national curriculum committees or initiatives</li> </ul>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>• Serving as PI on elite national education grants (e.g., T32)</li> <li>• Serving as editor of widely used textbooks or other prominent teaching aids</li> <li>• Garnering a continuous record of peer-reviewed publications in the field of education with some as first or senior author</li> <li>• Giving multiple invited keynote presentations at national meetings whose primary purpose is education</li> <li>• Earning prestigious teaching or mentoring awards from national societies if limited number of awardees</li> <li>• Leading national educational initiatives or curricula</li> <li>• Chairing major national educational committees, initiatives, or curricula development, implementation, or evaluation efforts</li> </ul>



**Table 5: Representative Examples of National/International Professional Service Benchmarks for Promotion.**

Candidates will be evaluated on quantity, quality, and impact of their accomplishments. They should have demonstrated a sustained pattern of service activities in rank that should include multiple items at the applicable or greater benchmark:

National/International Professional Service Benchmarks	
<b>Involvement</b>	<ul style="list-style-type: none"> <li>• Holding senior membership in a professional society (e.g., as fellow of the society)</li> <li>• Serving as a session chair or moderator at a major society conference</li> <li>• Serving as an ad hoc reviewer for mid-quartile journals</li> <li>• Serving as a member of a major collaborative network</li> </ul>
<b>Achievement</b>	<ul style="list-style-type: none"> <li>• Serving as a member of a major committee of a professional society</li> <li>• Holding membership on advisory boards to governments or foundations</li> <li>• Serving as an ad hoc reviewer for leading journals</li> <li>• Serving as an abstract reviewer for national/international conferences</li> <li>• Serving as an ad hoc reviewer for a study section</li> <li>• Serving as a protocol leader of a major collaborative network</li> </ul>
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Leading a major committee of a professional society or serving as a member of multiple national committees</li> <li>• Leading advisory boards to governments or foundations</li> <li>• Holding membership on editorial boards for leading journals</li> <li>• Serving as a standing member of a study section or an NIH council</li> <li>• Serving ad hoc on multiple international grant review panels</li> <li>• Implementing national/international clinical or research programs</li> <li>• Being recognized as a thought leader in the field</li> <li>• Serving as a member of a program committee for a major conference</li> <li>• Serving as section leader of major collaborative network</li> </ul>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>• Holding a leadership position in professional societies (e.g., Board of Directors, Officer, President, Councilor, etc.)</li> <li>• Holding a key editorial role for leading journals</li> <li>• Serving as chair of a study section or member of an NIH council</li> <li>• Demonstrating clinical innovation (e.g., game-changing healthcare, creating a nationally/internationally emulated program, etc.)</li> <li>• Serving as program committee chair for national meetings or as lead conference organizer</li> <li>• Receiving honors and awards for national service</li> <li>• Holding a leadership role in nationally funded collaborative network</li> </ul>

### C. Requirements for appointment as Associate or appointment and promotion to Senior Associate

Appointment to the rank of Associate or Senior Associate may be used for candidates who are completing advanced residency training, including chief residents or non-ACGME fellows who provide clinical care at the level of a faculty member. These ranks also may be used for those recently completing postdoctoral training.

### D. Requirements for appointment and promotion to Instructor

Appointment and promotion to the rank of Instructor may be used for a candidate who has completed residency training or postdoctoral training, is initiating their academic career after completion of professional/ academic training, and has the potential to make substantial contributions in scholarship, service, or teaching.

### E. Requirements for appointment and promotion to Assistant Professor

Appointments and promotions to the rank of Assistant Professor may be used for individuals who have completed residency or post-doctoral training and demonstrate experience in research, teaching, and/or high-quality professional service. Candidates should exhibit the potential to satisfy the requirements for promotion to Associate Professor as outlined below.

### F. Requirements for appointments and promotions to Associate Professor with or without tenure

**1. Associate Professor, non-tenured.** Candidates for the rank of Associate Professor without tenure must have significant accomplishments in all three mission areas. The balance among accomplishments may vary considerably from one candidate to another. At the time of appointment or promotion, the candidate, together with the Department Chair, must identify the area of distinction (scholarship, teaching, or professional service) that best matches their accomplishments and meets the minimum criteria described below in **Table 6**. **Table 6** includes one set of criteria in scholarship and two sets of criteria each for teaching (A and B) and professional service (A and B) to allow for different combinations of individual accomplishments. Scholarship benchmarks (**Table 1**), institutional/regional benchmarks in teaching and professional service (**Tables 2-3**), and national/international benchmarks in teaching and professional service (**Tables 4-5**) should be used to judge qualification for appointment and promotion. It is not necessary that a candidate achieve every benchmark in a given category, but a sustained pattern of accomplishments consistent with these benchmarks is expected. Faculty are expected to maintain excellence in each mission area at least at the level required for appointment or promotion as Associate Professor until their next promotion or throughout their careers.

**Table 6: Associate Professor, non-tenured**

Area of Distinction	Mission Area		
	Scholarship	Teaching	Service
Scholarship	≥ Emerging* national/international reputation	≥ Regional, institutional, national or international Involvement	≥ National/international involvement
Teaching A	≥ Involvement	≥ Institutional/regional reputation	≥ Institutional/regional achievement
Teaching B	≥ Achievement	≥ Institutional/regional reputation	≥ Institutional/regional involvement
Professional Service A	≥ Involvement	≥ Institutional/regional achievement	≥ Institutional/regional reputation
Professional Service B	≥ Achievement	≥ Institutional/regional involvement	≥ Institutional/regional reputation

\*Emerging reputation: Blend of items in achievement and reputation categories.

**2. Associate Professor with tenure.** Candidates for promotion to Associate Professor with tenure, or for the grant of tenure at the Associate Professor level, shall hold a doctoral degree and must demonstrate at least an established national/international reputation in the scholarship area of distinction. Candidates must also attain the benchmarks for either at least national/international achievement in teaching and at least institutional/regional achievement in professional service (**Table 7, Scholarship A**) or at least institutional/regional achievement in teaching and at least national/international achievement in service (**Table 7, Scholarship B**). Tenure decisions must be made by the end of the 11<sup>th</sup> year on faculty, and must take effect by September 1<sup>st</sup> of the 12<sup>th</sup> year. If a tenure decision is unfavorable, candidates may be reconsidered in subsequent years provided they still fall within the 11-year tenure clock.

In terms of scholarship, the candidate must have a sustained record of extramural funding with some as principal investigator, as well as a continuous publication record that includes first or senior authorship on publications in leading refereed journals. Candidates may also fulfill mission-critical investigator roles on multiple funded team science projects. They should have given invited research presentations at national venues and should have authored important review articles, chapters and books. Other evidence of scholarship may include licensed patents. Scholarship benchmarks are provided in **Table 1**, and teaching and professional service benchmarks can be found in **Tables 2-5**. Candidates who are granted tenure are expected to maintain tenurable standards of performance throughout their careers.

**Table 7: Associate Professor, tenured**

Area of Distinction	Mission Area		
	Scholarship	Teaching	Service
<b>Scholarship A</b>	≥ National/international reputation	≥ National/international achievement	≥ Institutional/regional achievement
<b>Scholarship B</b>	≥ National/international reputation	≥ Institutional/regional achievement	≥ National/international achievement

**G. Requirements for appointments and promotions to Professor with or without tenure**

**1. Professor, non-tenured.** Substantial accomplishments in all three mission areas are expected of all candidates for full Professor. Faculty candidates for Professor will have achieved a national/international reputation in their field or hold significant institutional/regional leadership roles in education or professional service. At the time of appointment or promotion, the candidate, together with the Department Chair, must identify the area of distinction that best matches their accomplishments (scholarship, teaching or professional service). This area may be different from the area of distinction chosen at the time of promotion to Associate Professor. To be eligible for appointment or promotion, the minimum criteria described below in **Table 8** must be met. **Table 8** includes two sets of criteria in scholarship (A and B) and one set of criteria each for teaching and professional service to allow for different combinations of individual accomplishments. Scholarship benchmarks (**Table 1**), institutional/ regional benchmarks for teaching and service (**Tables 2-3**), and national/international benchmarks for teaching and service (**Tables 4-5**) should be used to judge qualification for appointment and promotion. It is not necessary that a candidate achieve every benchmark in a given category, but a sustained pattern of accomplishments consistent with these benchmarks is expected. Faculty are expected to maintain excellence in each mission area throughout their careers.

**Table 8: Professor, non-tenured**

Area of Distinction	Mission Area		
	Scholarship	Teaching	Service
Scholarship A	≥ National/international reputation	≥ National/international achievement	≥ Institutional/regional achievement
Scholarship B	≥ National/international reputation	≥ Institutional/regional achievement	≥ National/international reputation
Teaching	≥ Substantial* involvement	≥ National/international reputation OR ≥ Institutional/regional leadership	≥ Institutional/regional achievement
Professional Service	≥ Substantial* involvement	≥ Institutional/regional achievement	≥ National/international reputation OR ≥ Institutional/regional leadership

\*Substantial involvement: Blend of items in involvement and achievement categories.

**2. Professor with tenure.** This rank is the most distinguished in the University, and as such, substantial accomplishments at the national/international level are expected of all candidates. Promotion to Professor with tenure requires a doctoral degree and accomplishments in all three mission areas, including achieving a national/international leadership role in scholarship, education or professional service. In all cases, a faculty candidate for Professor will be among the most distinctive and recognized voices in their discipline. While tenure decisions usually will occur at the level of Associate Professor, if the criteria in **Table 9** are met, promotion to Professor can be coupled with a grant of tenure. Grant of tenure must be made and take effect by the end of the 11<sup>th</sup> year on faculty. **Table 9** includes two sets of criteria in scholarship (A and B) and one set of criteria each for teaching and professional service to allow for different combinations of individual accomplishments. At the time of appointment or promotion, the candidate, together with their Department Chair, must identify the area of distinction that best matches their accomplishments (scholarship, teaching, or professional service). This area may be different from the area of distinction chosen at the time of promotion to Associate Professor. Scholarship benchmarks (**Table 1**), Institutional/regional benchmarks for service and teaching (**Tables 2-3**) and national/international benchmarks for service and teaching (**Tables 4-5**) should be used to judge qualification for appointment and promotion. It is not necessary that a candidate achieve every benchmark in a given category, but a sustained pattern of accomplishments consistent with these benchmarks is expected. Faculty are expected to maintain tenurable standards of performance in each mission area throughout their careers.

**Table 9: Professor with tenure**

Area of Distinction	Mission Area		
	Scholarship	Teaching	Service
Scholarship A	≥ National/international leadership	≥ Institutional/regional reputation	≥ National/international reputation
Scholarship B	≥ National/international leadership	≥ National/international reputation	≥ Institutional/regional achievement
Teaching	≥ National/international reputation	≥ National/international leadership	≥ Institutional/regional reputation
Professional Service	≥ National/international reputation	≥ Institutional/regional reputation	≥ National/international leadership

## H. Joint and secondary appointments

Joint (shared compensation or other financial support) and secondary (without compensation in the second Department) faculty appointments in the School are limited and require the approval of the Department Chairs and the Dean. Their conditions should be stated in writing at the time of their initiation. Such appointments require that the faculty member makes an appreciable contribution to the secondary Department. Initial joint and secondary appointments may be made at the same rank as, or at one faculty rank lower, than that held in the primary Department, at the discretion of the Chairs of the two Departments. At the request of the Chairs, advancement to the next rank may occur at the time of promotion in the primary Department.

## I. Joint and secondary faculty appointments in the School of faculty at other institutions

Faculty who hold primary appointments at other medical schools or universities usually are not eligible for joint or secondary faculty appointments in the School of Medicine. Exceptions may be made only if the arrangement is beneficial to the School, and if the faculty member's activities do not interfere with his or her obligations to the School or home institution or breach the policies of the University, the School, or the home institution. Such exceptions shall require approval by the Department Chair, the Dean, and the home institution. Contractual agreements between Emory and the other institution will be required. Such contractual agreements must include specific terms for any faculty who wish to submit research proposals, be listed as compensated investigators on research grants, or provide compensated medical services at Emory.

## J. Special titles in the School

Additional appointments to the faculty ranks with or without compensation and with special titles are authorized under the *Statement*. They are made to satisfy special needs and/or conditions. Such appointments are limited and are governed by the written conditions of each individual appointment. Examples are provisional and visiting appointments. These appointments are reviewed in the same manner as those for regular faculty appointments to the rank of Assistant Professor.

## K. Emeritus appointments

A retired member of the faculty who has reached age 55, has served as a member of the Emory faculty for at least ten continuous years, and whose total age plus years of continuous service is at least 75, shall be eligible for the Emeritus title at the rank held upon retirement. Emeritus status is not automatic, but rather must be requested by the Chair and the Dean and approved by the Provost, the Executive Vice President for Academic Affairs and the President, who shall inform the Board of Trustees of the appointment. [*Statement*]

## VI. ALLIED HEALTH APPOINTMENTS AND PROMOTIONS

Allied Health faculty will be subject to the same guidelines as other faculty in the School. They must hold the nationally accepted terminal degree in their field at the time the degree was awarded. To advance through the academic ranks, they must meet or exceed the criteria described in **Tables 6 and 8**. Candidates who do not hold a doctoral degree are not eligible for tenure or promotion to Professor.

## VII. PROCEDURES FOR APPOINTMENT, PROMOTION AND TERMINATION

**Overview of procedure:** Recommendations for appointment and promotion, arrived at using principles established by the Office of Equity and Inclusion, these *Guidelines*, and Departmental policy, are initiated by the Department Chair. Appointments and promotions to Associate Professor and Professor are submitted to the Faculty Committee on Appointments and Promotions (FCAP) and, if favorably reviewed, to the Council of Chairs, both of which are advisory to the Dean, before a final decision by the Dean. Tenure actions are then forwarded to the Executive Vice President for Health Affairs for approval before submission to the University Provost and the Board of Trustees for action. These procedures are in accordance with the University policy stated in the *Bylaws* and in the *Statement*.

## A. Minimum time in one rank before promotion to the next rank

The minimum time in rank may be served at Emory or previous institutions before appointment or promotion to the next rank. The minimum time in rank ordinarily is less than the usual time in rank. Under rare and unusual circumstances, the Chair may request promotion sooner than the minimum time in rank. The recommendation from the Chair to the Dean must explicitly justify in writing why such exception is warranted. The minimum time in rank before the next promotion could take effect is stated below.

1. Associate, Senior Associate, or Instructor—one year
2. Assistant Professor—five years
3. Associate Professor—four years

## B. Maximum time in rank before promotion to the next rank

**1. General rules.** Faculty who are being considered for tenure must achieve the criteria for tenure within 11 years. The tenure clock begins at the start of the first full academic year after appointment as Assistant Professor or two years after appointment as Instructor.<sup>3</sup> New faculty appointed without tenure at the Associate Professor level have five years to attain tenure, if applicable. Faculty appointed as Professor without tenure have three years to attain tenure, if commensurate with their career trajectory. No maximum times in rank exist for faculty not eligible for tenure, but faculty are entitled to review and promotion in accordance with the *School of Medicine Faculty Development Policy* and the criteria and restrictions herein.

**2. Extension of the tenure clock.** The decision to grant tenure must be made before the end of the 11<sup>th</sup> year of employment in a full-time, regular academic position. Since notice should be given for changing or terminating an academic appointment by May 31 of the final year of appointment, the tenure review must be initiated not later than the 10<sup>th</sup> academic year. In order to protect the faculty member who has demonstrated excellent potential for reaching tenure, but who has encountered unusual circumstances, the following situations, subject to University policy, may qualify for an extension of the tenure clock:

- a. If a faculty member who has not yet been reviewed for tenure becomes a parent by birth or adoption, a one-year extension of the tenure clock will be granted automatically per birth event. The faculty member should notify their Department Chair and Dean in writing of this change in status at the earliest possible date.
- b. Other special circumstances that may justify an extension of the tenure clock include responsibility for managing the illness or disability of a family member, serious illness of the faculty member, personal or family tragedy, catastrophic change in the research environment (e.g., equipment, research data, animal or patient resources) that significantly delays or terminates specific research activity, or the unforeseen imposition of additional Departmental or University duties that significantly detracts from the academic time available to the faculty member.

To obtain an extension of the tenure clock for unusual circumstances, the faculty member must make a written request to the Department Chair showing that his or her ability to demonstrate readiness for the grant of tenure has been substantially impaired. Faculty are expected to submit the petition for an extension of the tenure clock at the time of the unusual circumstance rather than in year ten when the tenure review is due. The petition must be approved by the Department Chair, Dean, Executive Vice President for Health Affairs and the Provost. In the event of a denial, the faculty member may appeal to the responsible official at the next level of approval. The Provost, in consultation with the President, shall grant or deny the petition.

**3. Exceptions.** When an inadvertent administrative error in the Department or Dean's Office allows the tenure clock to expire before the candidate is able to compile a promotion packet, upon discovery of the error, the Chair must immediately initiate the usual procedure for review of the faculty member's credentials for the grant

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<sup>3</sup> For example, if the employment date is November 1, the first full year of service begins on the following September 1.

of tenure; or, with the consent of the faculty member, allow the tenure clock to lapse. If initiating a review, the Department Chair shall then submit to the Dean a written report explaining the reason for the overdue submission; the Department's recommendation, favorable or unfavorable; reasons for the recommendation; and the usual complete supporting materials. If the Dean agrees that the circumstances merit exceptional consideration, a favorable recommendation from the Chair will be considered as described in section VII.E. Recommendation of the faculty action to the Provost and President of the University for special consideration shall be at the discretion of the dean. If an unfavorable recommendation is made by the Department, the FCAP, the Council of Chairs, or the Dean, the faculty member shall have the rights of appeal described herein.

In rare and unusual circumstances, the Dean may consider proposing a grant of tenure for a Professor who has exceeded the tenure clock and through a change in career focus has achieved the performance metrics of a tenured Professor. The Dean will consult with the Provost before moving such a case forward.

### C. Terms and renewal of limited appointments

In accordance with the *Statement*, the terms of limited appointments shall be stated in writing, and the details of limited appointments that are contingent upon specified grants and contracts should be described. Written notice as prescribed in the *Statement* is required for non-renewal of limited appointments. In the School, renewal of limited appointments shall occur on a yearly basis, in accordance with the *Statement*, unless written notice of non-renewal of the appointment is provided by the Department Chair to the faculty member. Limited appointments in the School are for one year, unless a shorter period is specified in the recruitment and appointment letter.

### D. Departmental procedures for appointment/promotion

**1. Chair's review.** The credentials of all faculty shall be reviewed by the Chair of the Department in accordance with these *Guidelines* and the *School of Medicine Faculty Development Policy*. Written notice of non-renewal shall conform to the requirements of the *Statement*. Action leading to nomination of an individual for appointment or promotion will be initiated by the Chair of the primary Department in accordance with these *Guidelines* and established Department guidelines.

**2. Departmental committee review.** The individual under consideration shall be provided sufficient notice to allow preparation of appropriate supporting documentation, all of which shall be considered by the Department appointments and promotions committee when preparing its recommendation to the Department Chair. The committee recommendation, including the vote totals, will be included in the Chair's letter. All reviews shall conform with University policies on equity and inclusion and utilize best practices with respect to the composition of the committee.

**3. Evaluations.** Evaluations are required for all senior promotion actions (Associate Professor and Professor). For the faculty ranks of Associate, Senior Associate, Instructor and Assistant Professor, no evaluations other than the Chair's letter are required, but they may be included.

In consultation with the Department Chair, the candidate will develop a list of potential internal and external evaluators, a brief description of the credentials of each that explain the selection of that evaluator; the evaluator's perceived standing in the field with regard to scholarship, teaching, and/or professional service; and the evaluator's relationship to the candidate, if any. A candidate may not solicit or contact potential evaluators once promotion materials have been submitted to their department, as this would disqualify evaluators from participating in the review process. Using a standard letter and Evaluator Profile Form approved by the Provost, the Dean's Office shall solicit, track, and collect all internal and external evaluations for cases involving grant of tenure. For other actions, the Department shall solicit, track, and collect all evaluations. All evaluations received by the Dean's Office will be provided to the Chair and will be considered in the reviews of the candidate's credentials. For reporting purposes and for consideration in the review process, if appropriate, the Dean's Office or the Department shall record the reasons, to the extent known,



that any invited evaluators fail to respond.

At least four evaluations for non-tenured Associate Professor appointments and promotions and at least six evaluations for all non-tenured Professor actions appointments and promotions must be received from faculty members/faculty equivalent who hold the rank to which the candidate aspires, or higher. External evaluators of the candidate’s research should be top-ranking, acknowledged scholars in the candidate’s field. For non-tenured appointments, three (for Associate Professor) or four (for Professor) of these evaluations must be from arm’s length external evaluators who have not collaborated with the individual within the last five years, have not published with the individual in the last five years except as part of a large working group, and do not have any other close present or past relationship, including as mentor/mentee, supervisor/supervisee, or close colleague (**Table 10**). The other evaluations may be from external collaborators who are familiar with the candidate’s contributions to the field (non-arm’s length) or from internal evaluators who are not in the same primary or joint department as the candidate. Internal evaluations may be from faculty in the candidate’s secondary department, provided that the candidate and evaluator do not have a close working relationship. For tenure decisions, all evaluations must meet the criteria set forth by the Provost’s Office. In all cases, an evaluator must complete the School of Medicine Evaluator Profile Form documenting their relationship with the candidate and identifying any conflicts of interest that may exist and provide a letter summarizing their opinion.

**Table 10: Evaluations**

Proposed rank	Required evaluations			
	External/internal		Research team lead	Chair joint/secondary department
<b>Associate Professor, non-tenured</b>	Required: 4		Optional	If applicable
	≥ 3 arm’s length external	1 arm’s length or non-arms’ length external or internal		
<b>Associate Professor, tenured</b>	Follow university guidelines		Optional	If applicable
<b>Professor, non-tenured</b>	Required: 6		Optional	If applicable
	≥ 4 arm’s length external	2 arm’s length or non-arms’ length external or internal		
<b>Professor, tenured</b>	Follow university guidelines		N/A	If applicable

Inclusion of one optional letter from the candidate’s research team leader, if applicable, may be submitted. For all faculty who hold joint or secondary appointments in the School or a University unit outside the School, a letter of support for the candidate from the Dean, Department Chair or Director of the unit in which the candidate holds the joint or secondary appointment must be included.

**4. Departmental packet to Dean.** The materials provided to the Dean shall include those required by the University’s Tenure and Promotion Advisory Committee (TPAC) and the Provost (**Appendix A**). Briefly, they will include the Department Chair’s letter; the candidate’s teaching portfolio, service portfolio, curriculum vitae, one-page curriculum vitae (tenure candidates only), and personal statement, all in the School format; copies of up to five representative publications; internal and external evaluations, as well as a list of evaluators ; and the aforementioned letter of support from the Dean, Department Chair or Director of the unit in which the candidate holds a joint or secondary appointment.

## E. Procedures for extra-departmental review

**1. Appointments and promotions to limited introductory ranks.** The record of the candidate nominated for appointment or promotion to any of the limited introductory ranks is ordinarily reviewed and acted upon by the Dean without further consultation. The Department Chair should provide a letter explaining the request and a copy of the candidate's curriculum vitae. Appointments and promotions so accomplished are reported to the Council of Chairs monthly.

**2. Appointments and promotions to Associate Professor and Professor.** Proposals for appointments or promotions to the rank of Associate Professor or Professor are forwarded by the Dean to the FCAP. The FCAP composition is described in the *Bylaws of the Emory University School of Medicine Faculty Committee on Appointments and Promotions*. Candidates recommended for appointment to these ranks must submit their dossier (as described in Section VII.D.4) to allow time for the various levels of review to occur within six months of their start date. During the review process, candidates shall hold the titles of Associate Professor (Provisional) or Professor (Provisional). Failure to comply with this timeline may result in reversion to the title of Assistant Professor until such time as the action is reviewed and approved.

- a. The FCAP's initial review of a proposal for appointment or promotion.** Proposed actions are reviewed by the FCAP in a similar manner as for limited and continuous faculty appointments using the criteria appropriate to each, including any additional Department-specific criteria. The Committee will assess whether the documentation submitted by the candidate and the Chair adequately supports appointment or promotion based on the area of distinction chosen by the candidate, the criteria set forth in **Tables 6-9**, and the benchmarks in **Tables 1-5**. The Committee may request in writing, through the Dean's Office, additional information from the Department Chair.

The FCAP shall discuss and vote on each candidate separately. Members of the Committee will be provided with the complete packet for each faculty action. The Committee Chair will assign a primary and secondary reviewer who do not have a personal conflict of interest or hold a primary appointment in the same Department, and who hold an academic rank equal to or higher than of the expected rank of the candidate. Reviewers will rigorously evaluate the candidate's scholarship, teaching, and professional service in accordance with the criteria described herein. Evaluations shall be used to judge a candidate's local, regional, national and/or international reputation, and impact. The primary reviewer will present their evaluation to the Committee, and the secondary reviewer will provide additional comments as necessary. The entire Committee will then discuss the merits of the candidate's application.

- b. The FCAP vote on proposed actions.** A quorum of more than half of the Committee, including the Chair, is required for each discussion and vote on a faculty action. The Committee shall vote upon tenure and promotion recommendations separately. Any Committee member with a conflict of interest shall leave the room during the consideration and shall not vote. Members absent from the discussion may not vote and must be recorded as absent. The Committee's recommendation to support or deny the proposed promotion or appointment shall be based upon a simple majority vote. The vote of each of the members present shall be recorded; however, the deliberations of the Committee are confidential except as reported in aggregate to the Dean and the Council of Chairs.
- c. Committee report to the Dean.** For each faculty action, the Committee Chair will provide to the Dean a written report that reflects the Committee's deliberations and recommendation, including the criteria proposed by the Chair, the strengths and weaknesses of the candidate based on the criteria described herein, a summary of the opinions of the external evaluators, and the Committee vote. When the Committee vote is not unanimous, the minority opinion will be detailed in the report.

- d. Action by the Dean and the Council of Chairs.** The recommendation of the FCAP is advisory to the Council of Chairs and the Dean. If the FCAP recommendation is for a non-tenure appointment or promotion, and is favorable by at least a two-thirds majority vote, the Council of Chairs then reviews the promotion materials and the FCAP's decision and makes final recommendation via a consent agenda for the Dean's approval, depending upon the needs of the School and the University and upon fiscal considerations. If a favorable recommendation is supported by a vote greater than one-half but less than two-thirds of the FCAP, then the Council of Chairs will review and discuss the action at a regular meeting.

If the favorable recommendation involves grant of tenure, then the action will be assigned to two Department Chairs for in-depth review at the Council of Chairs meeting. The Chair of the FCAP will present to the Council of Chairs a summary of the FCAP's recommendation and will answer questions. The two Chairs who have performed the review will present their conclusions, and the Chair of the candidate's Department will be asked for comment. The Council of Chairs will then discuss and vote on the action after the Department Chair has recused himself/herself.

Unfavorable FCAP recommendations with which the Dean concurs are remanded to the Department Chair with a description of the Chair's options. The Department Chair may confer with the candidate when considering whether to accept the FCAP decision or to appeal, but the FCAP report itself must remain confidential because it contains information about the evaluators' opinions. If the Department Chair disagrees with the outcome of the FCAP deliberation, (s)he may appeal the action to the Council of Chairs as described above for tenure cases. If the Department Chair opposes the promotion, but the candidate believes the action should go forward and the case meets the criteria outlined below for appeals, (s)he may appeal to the Dean. At his/her discretion, the Dean may appoint two members from the Council of Chairs to present the candidate to the Council of Chairs for review.

When the Dean does not concur with the FCAP, (s)he may seek further advice from the Council of Chairs.

- e. Action by the Provost.** All tenure actions approved by the FCAP, the Council of Chairs and the Dean shall be forwarded to the Provost's Office for review and approval, along with a letter from the Dean outlining the School's promotion procedures, the candidate's contributions to their field, and the outcome of the School's deliberations. Refer to the Faculty Handbook for University procedures.

**f. Appeals.**

**i. Appeal of Chair's decision or decision of Departmental committee.** If the Department Chair declines to initiate the process that may lead to a recommendation for promotion, or if the Department's recommendation is unfavorable, the candidate or other faculty members acting on their behalf may submit a written appeal to the Dean. The Dean has the discretion to accept or decline to accept the appeal. If the appeal is accepted, the Dean may make a decision on the appeal, may submit the case to the FCAP as specified herein, or may seek advice from the Council of Chairs.

**ii. Appeal of recommendation of the FCAP.** A candidate or Department Chair may appeal in writing to the Dean an unfavorable FCAP recommendation. The basis for such an appeal shall be either that (a) the FCAP failed to adhere to and equitably apply the *Guidelines*; or (b) that there has been a violation of academic freedom. The Dean has the discretion to accept or decline to accept the appeal. If the appeal is accepted, the Dean may make a decision on the appeal or may seek advice from the Council of Chairs. The Council of Chairs will consider only substantive information in any decision that may reverse the recommendation of the FCAP.

iii. **Appeal of decision of Dean.** A candidate may appeal to the Executive Vice President for Health Affairs an unfavorable decision by the Dean. The Executive Vice President of Health Affairs, in coordination with the Provost, will determine the procedure by which such appeals are reviewed.

iv. **Appeal of decision allegedly based on discrimination.** Any faculty member may appeal an unfavorable decision believed to be based upon prohibited discrimination through the procedure prescribed by the Emory University Office of Equity and Inclusion.

F. **Terminations.** The decision whether to terminate a faculty member denied tenure will reside with the Department Chair and the Dean, who will consider the potential for the faculty member to continue to contribute to the missions of the University and the financial impact of such a decision. Termination procedures and decisions concerning termination for cause will conform to the *Statement*.

#### G. Special cases

1. **Procedure for review of long-term Associate Professor with tenure.** [*Adapted from and subject to policy established by the University Board of Trustees.*] Occasionally, tenured members of the faculty take on roles or an emphasis in their work that does not meet the standard criteria for promotion with the result that they remain in the rank of Associate Professor for many years. The careers of such individuals may not receive the wider professional recognition of the more typical scholarly career but nonetheless reflect outstanding and important contributions to the University. Such persons could be eligible for consideration for the rank of Professor with tenure. At their discretion, Department Chairs or the Dean may review and nominate for promotion such individuals who have been in rank 12 years or longer. The nomination must be supported by evidence of extraordinary contributions to, and outstanding performance in, teaching or service, and as appropriate, scholarship. The nomination for appointment to Professor with tenure will be processed and reviewed in the usual manner for such appointment.

2. **Procedure for reappointment of faculty returning to the University after an absence.** If a non-tenured faculty member voluntarily leaves the University and then wishes to return within two years, the Chair may request reappointment at the same rank without full review by the FCAP and the Council of Chairs. In such cases, the Chair shall submit a reappointment request and the candidate's updated curriculum vitae to the Dean. The Dean may accept the recommendation or request review by the FCAP and the Council of Chairs. This policy does not apply to faculty members with tenure. Faculty members with tenured appointments or those who have been gone from the University for more than two years, will undergo review of their appointment following the regular procedures described herein.

3. **One-time procedures for actions proposed during transition to these guidelines (grandfather clause).** The phase-in of this new version of the *Guidelines* will begin on September 1, 2017 and will occur as follows:

- Promotion proposals for those whose faculty appointment at the University began after September 1, 2015 shall automatically be considered under these new *Guidelines*.
- Those who were appointed faculty in the School on or before September 1, 2015 shall have until September 1, 2020 to be considered for promotion under the previous 2011 *Guidelines* if they so choose.
- If a faculty member is proposed for promotion under the 2011 *Guidelines* and fails to be promoted, all further promotion proposals shall be considered under the 2017 *Guidelines*.
- After September 1, 2017, once a change in rank has occurred, further actions will only be considered under the 2017 *Guidelines*.
- Faculty who have been denied tenure under the 2011 *Guidelines* shall be reconsidered for tenure only under the 2017 *Guidelines* if they are within the 11-year tenure clock.

## VIII. ADJUNCT FACULTY APPOINTMENTS AND PROMOTIONS

### A. Adjunct faculty appointments

All adjunct faculty appointments in the School of Medicine are limited, and their conditions should be stated in writing at the time of their initiation. These appointments automatically terminate two years after the date of appointment unless renewed in writing by the Department Chair. All faculty who hold adjunct faculty appointments in the School are subject to, and shall comply with, the policies and procedures of the Department, School, and University, and further to any local, state, and federal laws and regulations that are applicable to their activities at Emory.

Adjunct faculty serve in a volunteer capacity without financial compensation. Appointments to the ranks of Adjunct Instructor through Adjunct Professor are reserved for individuals generally from outside Emory who have completed their graduate degrees and who contribute actively to the clinical, educational and/or research missions of the School. The initial adjunct appointment shall be at the rank of Instructor unless accomplishments are commensurate with a higher rank. Ranks of Assistant Professor, Associate Professor and Professor require ongoing University mission-specific contributions in teaching, service, and/or scholarship at a level commensurate with those of regular faculty. Adjunct faculty may hold a secondary adjunct faculty appointment, if appropriate.

Adjunct faculty who also hold faculty appointments at other academic institutions must have the approval of their home institutions as well as the Emory Department Chair and Dean to hold an appointment in the School of Medicine, participate in research or clinical activities, submit research grants, or be listed as investigators on research grants at Emory. Research and clinical activities may require special arrangements such as contracts and other agreements.

### B. Requirements for appointment and promotion to senior adjunct faculty

**1. Adjunct Associate Professor.** Adjunct Associate Professors shall exhibit high levels of skill as clinicians, teachers, and/or researchers. They shall contribute actively to the clinical, educational, and/or research programs of the School at a level commensurate with that expected of regular faculty at this rank.

**2. Adjunct Professor.** Adjunct Professors shall have achieved undisputed recognition as outstanding clinicians, teachers and/or researchers. They shall contribute actively to the clinical, educational and/or research programs of the School at a level commensurate with that expected of regular faculty at this rank.

### C. Procedures for adjunct faculty appointments and promotions

Nominations for appointments and promotions in the adjunct faculty ranks are recommended, processed, and reviewed in the same manner as those for regular faculty appointments to the rank of Assistant Professor. In addition to approvals from the Department Chair and Dean, special contractual agreements may be required for adjunct faculty candidates who hold faculty appointments at other institutions. The Dean's Office will assist Department Chairs in obtaining such agreements.

## IX. RECORDS

These *Guidelines* and any additional Departmental requirements for appointment, promotion, tenure, and termination must be kept on file in the Dean's Office, posted on the School of Medicine website and made available to the faculty. Complete records of the formal Departmental review process for each candidate, including all pertinent data and the written reports of recommendations, must be kept on file in the Department of the candidate for a period of not less than three years, regardless of whether a recommendation for appointment or promotion was made. A complete record of the appointment and promotion history of each faculty member shall be kept on file in the Dean's Office for at least seven years following the individual's resignation, termination, or retirement date.

These *Guidelines* were approved by the Faculty, Council of Chairs, and The Board of Trustees effective 5/3/2017.

Revisions approved by the Council of Chairs 6/18/2018.

Revisions approved by the Council of Chairs 6/15/2020.

**APPENDIX A**  
**APPOINTMENT AND PROMOTION MATERIALS**

**A. Contents of the appointment or promotion packet**

1. Chair's letter

The Chair shall submit to the Dean of the School of Medicine a written letter of recommendation summarizing the formal independent departmental promotion review proceedings and recommending the basis for promotion. The Chair's letter, with evaluators' names and comments redacted, shall be available to the individual under consideration, if requested. The Chair's letter will include:

- (a) A clear statement of the area of distinction chosen by the candidate and the institutional/regional or national/international levels of accomplishment in scholarship, teaching and professional service;
  - (b) For a new appointment, a description of the position the candidate will assume;
  - (c) A description in lay terms of the candidate's accomplishments in scholarship, teaching, and service, as well as an assessment of the candidate's qualifications in each area for appointment or promotion, including the candidate's standing within the field compared to other distinguished experts in the field;
  - (c) An assessment of the current and future impact of the candidate's scholarship, teaching, and service;
  - (d) A description of how the candidate's appointment, promotion, and/or tenure will advance the purposes of the Department, School, and University;
  - (f) A statement of the data or documents that were reviewed by the Department appointments and promotions committee and the Chair;
  - (g) A summary of the opinions of the evaluators, including quotations from their evaluations;
  - (h) The vote of the Department appointments and promotions committee (without names).
  - (i) A statement that the Office of Equity and Inclusion guidelines were followed.
2. For tenure candidates only, a one-page summary of the curriculum vitae, using the template provided by the School.
3. A copy of the candidate's full curriculum vitae in the standard School curriculum vitae format.
4. The candidate's Teaching Portfolio, prepared by the candidate, using the template provided by the School.
5. The candidate's Service Portfolio, prepared by the candidate, using the template provided by the School.
6. Copies of up to five representative publications selected by the candidate that were provided to the evaluators.
7. A personal statement prepared by the candidate in language that a nonspecialist can understand describing what the candidate plans to do in the next few years in scholarship, teaching, and service and also reviewing prior achievements in these areas. The statement should be no more than five pages long.
8. Copies of all external evaluations, whether favorable or unfavorable, as well as internal evaluations, if applicable.
9. A list of all external and internal evaluators, including their contact information; a brief description of the credentials of each that explain the selection of that evaluator; each evaluator's perceived standing in the field of



scholarship, teaching, and/or service; and each evaluator's relationship to the candidate, if any (e.g., doctoral advisor, co-author, former student, research collaborator, residency director, fellowship advisor).

10. CV addendum, including new appointments, newly accepted publications, new grant awards, etc., that have been achieved during the Departmental review process.

## **B. Contents of the teaching portfolio**

1. A statement of the candidate's teaching philosophy.
2. A description of the institutional teaching activities in which the candidate has been engaged, including quantity (hours or numbers). Teaching activities include leadership positions held, courses directed, lecture duties, small group teaching, one-on-one sessions, bedside teaching, invited educational presentations, CME course organization and presentations, supervisory teaching (exam preparation, thesis committees, trainees supervised, mentoring activities), and educational committee memberships.
3. A description of the regional teaching activities in which the candidate engaged, including quantity. Teaching activities include educational presentations, workshops given, CME course organization, supervisory teaching, and education committee memberships.
4. A description of the national teaching activities in which the candidate engaged, including quantity. Teaching activities include educational presentations, workshops given, CME course organization, supervisory teaching, and education committee memberships.
5. A list of teaching materials prepared or edited by the candidate.
6. A list of teaching or education-related awards.
7. A list of public service activities oriented towards education; e.g., patient education materials or participation in community education forums.
8. A list of courses and self-instructional activities taken to improve teaching skills.
9. Supporting materials that include letters from former trainees or peers who have observed the candidate's teaching, formal evaluations from courses taught, and examples of teaching materials prepared by the candidate, if any.

## **C. Contents of the service portfolio**

1. Current administrative appointments, including a brief description of the candidate's roles and accomplishments.
2. Clinical service contributions, including patient care, quality improvement efforts, program development, and outreach.
3. A list of society memberships, including offices held.
4. A list of committee memberships, including offices held.
5. A list of peer review activities, including reviews of grants, manuscripts and conference abstracts.
6. A list of editorships and editorial boards and a description of their role.
7. A description of the candidate's role in the organization of national or international conferences.
8. Consultantships/advisory boards held by the candidate.
9. A list of service-related honors and awards, if any.

10. A description of community outreach activities.

11. Optional supporting documentation, such as letters from colleagues who can attest to service contributions.