

# PROCESSES FOR PROMOTION AND TENURE CONSIDERATIONS\* COLLEGE OF MEDICINE, SUNY UPSTATE MEDICAL UNIVERSITY

## INTRODUCTION

The purpose of this document is to present the procedures employed within the College of Medicine (the College) for the evaluation of rank at the time of initial appointment, promotion and/or consideration for granting of tenure of all paid faculty regardless of pay source and will include those paid through State sources, the Research Foundation, University Hospital, the Veterans Administration, the individual MSGs and Med Best. Voluntary faculty will be covered in separate appendices.

This Process Document (Processes for Promotion and Tenure Considerations, College of Medicine) establishes basic processes that apply to all paid faculty as defined in the Standards Document.

The following sections refer to the outline format and specific major paragraphs of the approved Standards Document: "Policy for Promotion and Tenure Considerations, College of Medicine, SUNY Upstate Medical University." The processes in this document are to be utilized in conjunction with the standards set by the Standards Document, which was approved by the Dean effective March 1, 2007.

Highlighted portions of this document are taken directly from the Standards Document and are not subject to revision by the MCA.

*The italicized portions of this document refer to the Binghamton Campus.*

### I. RANK OF PAID FACULTY AT TIME OF APPOINTMENT

Department Chairs should utilize the Departmental Promotion and Tenure Committee *and the Binghamton Clinical Campus should utilize the Binghamton Clinical Campus Appointments and Promotions (BCC A&P) Committee* in assessing level of appointment. This is required for appointments above the level of Assistant Professor.

### II. COMMUNICATION WITH FACULTY MEMBERS AT TIME OF APPOINTMENT

In addition to the items listed in the Standards Document and Appendices, a copy of this Process Document will be provided to faculty at the time of appointment.

### III. TYPES OF FACULTY PERSONNEL REVIEWS

#### A. ANNUAL REVIEWS OF PROGRESS TOWARD PROMOTION

1. There shall be an Annual Meeting between the Department Chair and each faculty member in his/her department for faculty members assigned to the Syracuse Campus. *Faculty members assigned to the Binghamton Clinical Campus will meet with the Binghamton Program Directors or, in the case of a Program Director, with the Binghamton Campus Dean.* The focus of this meeting will be faculty development, specifically the progress toward the next promotion for faculty holding less than full professorship. Discussion will focus on progress in all areas of involvement, including teaching, research and service, as defined in the appendix to the Standards Document. At the time of this review, goals for the next year shall be established and agreed upon in the form of an Annual Agreement of Academic Expectations (AAAE), which will be prepared and signed by the Chair and the faculty member within a month of the annual meeting. This document shall specify percentage effort in teaching (required for all faculty), research and service, as well as attainable goals and measures of their accomplishment. A copy of the AAAE will be submitted to the Dean's Office with review on request, or as needed. Disagreements between Chairs and faculty will be resolved by the Dean or Dean's Designee.

*Binghamton campus faculty who are less than full time but .25 FTE or greater will meet every two (2) years; faculty less than .25 FTE will meet every four (4) years. At the time of this review, goals for the next review period shall be established and agreed upon in the form of an Agreement of Academic Expectations (AAE), which will be prepared and signed by the Program Director and the faculty member within 2 weeks of the meeting. The AAE will be submitted to the Binghamton Dean's office for review and approval. Disagreements between Program Director and faculty will be resolved by the Binghamton Dean or Dean's Designee.*

2. Additional documentation of the annual meeting and annual Chair's letters other than the AAAE, will not be included in the promotion dossier.

#### B. PRE-TENURE REVIEWS

1. A pre-tenure review will occur following approximately two years of service toward tenure of tenurable instructors or assistant professors. Pre-tenure review of tenurable associate professors is not practical because the tenure review would begin approximately a year after appointment.

2. The pre-tenure review will be carried out by the Chair, the Chair of the Departmental Promotions and Tenure (P&T) Committee, *the BCC A&P Committee in the case of Binghamton faculty*, and the Senior Associate Dean for Faculty Affairs and Faculty Development. It should mimic as closely as possible the evaluation considerations that are used at the time of actual tenure review. Progress in teaching, research and service as well as the production of scholarship will be evaluated. No extramural letters will be solicited.

3. These reviews are meant to be formative. They should provide constructive feedback to the faculty candidate in time for a course correction to better ensure success at the time of tenure review. The results should be written, signed by all parties involved, and kept confidential.
4. Pre-tenure reviews will not be included in the promotion dossier.

#### C. PRE-PROMOTION REVIEWS

1. A pre-promotion review is recommended following approximately three years of service toward promotion of promotable assistant and associate professors who are not eligible for tenure.
2. The process and composition of the members of the meeting for pre-promotion review is still under consideration. The pre-promotion review should mimic as closely as possible the evaluation considerations that are used at the time of actual promotion review. Progress in teaching, research and service will be evaluated. No extramural letters will be solicited.
3. These reviews are meant to be formative. They should provide constructive feedback to the faculty candidate in time for a course correction to better ensure success at the time of tenure review. The results should be written, signed by all parties involved, and kept confidential.
4. Pre-promotion reviews will not be included in the promotion dossier.

#### IV. PROCEDURES FOR TENURE AND PROMOTION REVIEW

A. Overview: Tenure and promotion reviews shall originate in the faculty member's academic department. See IV. D. 3. a. The faculty member is required to provide the documents required in the Standards Document to the Chair, who will forward them to the Departmental P&T Committee.

*For Binghamton faculty tenure and promotion reviews shall originate with the Program Director. The faculty member is required to provide the documents required in the Standards Document to the Program Director, who will forward them to the BCC A&P Committee.*

B. Composition and procedures of Departmental Promotions and Tenure Committee:  
(approved by MCA 6.10)

1. Membership:
  - a. The membership will consist of a minimum of 5 members. The committee may have more than five members as long as 3 are full professors. If the number of qualified faculty members is 5 or less no election is needed, they would constitute the committee. If a department is too small to form a committee of 5 eligible faculty members, the committee may be as small as 3 faculty members.
  - b. The membership will consist of a minimum of 3 Full Professors. The department faculty may choose to restrict membership on the committee to Full Professors

only. In departments in which 3 full professors are not available to serve, the committee may include 2 full professors.

- c. Other members of the committee must be either Associate Professors or Full Professors.
2. Terms:
  - a. Committee members serve for a 3 year term.
  - b. Multiple terms are permitted.
3. Election:
  - a. The election will occur by written ballot.
  - b. The ballot will be distributed to all members of the full-time faculty in the department.
  - c. The ballot will list all Associate and Full Professors in the department, unless an individual faculty member chooses to withdraw his/her name from consideration.
  - d. The 3 Full Professors who receive the highest number of votes will become members of the committee.
  - e. The two individuals (or more if the committee is larger than 5 members) who receive the next highest number of votes will become members of the committee.
  - f. The committee chair will be elected by the members of the committee.
4. Accountability:
  - a. The committee chair will complete an Attestation Form to be submitted with the candidate's packet.
  - b. The Attestation Form will include: names of the committee members, a statement that the committee was elected, and a statement that it consists of a minimum of 3 Full Professors.
  - c. If these procedures were not followed for the candidate's review, the committee chair will explain and describe how the committee was formed (on the Attestation form).
5. Subsequent to its review of each candidate, the Chair of the Departmental Promotion and Tenure Committee will submit a letter of recommendation to the Department Chair. This letter must be approved by the Committee. The Department Chair will then send both his/her letter of recommendation and the letter from the Chair of the Departmental Promotion and Tenure Committee to the Dean. Both letters must be included in the packet submitted to the College of Medicine Faculty Appointments and Promotions Committee (COM FAP). *At the Binghamton Campus the BCC A&P Committee will submit a letter of recommendation to the Binghamton Dean and notification to the Department Chair in Syracuse of their recommendation. The Binghamton Dean will send both his/her letter of recommendation and the letter from the Chair of the BCC A&P Committee to COM FAP.*
6. For faculty holding joint appointments, tenure and promotion reviews shall originate as described above, in the primary department. The Chair of the secondary department will also submit a letter of recommendation to the Dean.
7. The Chair should utilize the Departmental P&T Committee, *or for Binghamton faculty, the BCC A&P Committee*, for assistance regarding new appointments above the level of Assistant Professor.

8. A faculty member may request initiation of the process for promotion from the Dean even if not recommended by the Department Chair and/or Departmental P&T Committee *or BCC A&P Committee*. This should only be done by the faculty member after discussion with the Department Chair and Departmental P&T Committee *or Program Director and BCC A&P Committee*.

#### C. Negative recommendations

1. Candidates for promotion and/or tenure shall be notified of the recommendation at each level of review, and upon request, receive the letters of recommendation from the Chair, Departmental P&T Committee, and COM FAPC. The faculty member shall be able to add additional material, if desired, at each level in order to address any negative comments. He/she shall have the right to appeal any, or all, of these recommendations to the Dean.

#### D. Documentation

1. Candidate's Promotional File: In addition to the documents specified in the Standards Document, the AAAs should be included in this file.

#### 2. Extramural and Intramural Evaluations

a. In addition to intramural letters of evaluation as appropriate and as desired by the Chair *or the Binghamton Dean*, three official extramural evaluations are required for each promotion and/or tenure review, which must be solicited by the Chair *or the Binghamton Dean*. The process for selecting evaluators and for soliciting evaluations must be consistent within a department, and shall be specified in the Chair's evaluation letter to the Dean. (Exceptions to this requirement are specified in the Standards Document).

b. The Department Chair *or the Binghamton Program Director* shall request faculty candidates for promotion and/or tenure to recommend evaluators; however, these requests are not binding. In addition, candidates are permitted to solicit additional unofficial letters, both extramural and intramural, to be included in their file (although the letters must be marked as unofficial and solicited by the faculty member).

#### E. Evaluation Process

1. Grandfathering: Faculty members shall be affected by any amendments to or change in the criteria for tenure and promotion subsequent to their appointment. However, at the time of submission of materials for evaluation, faculty being reviewed for tenure or for promotion to associate professor with tenure, have the option to request that the guidelines in place at the time of initial appointment be used as the criteria to evaluate him/her for promotion and tenure until March 1, 2010. After this date, all evaluations will adhere to the guidelines of the Standards Document.

2. The Faculty Member's responsibilities:

- a. S/he shall provide all required documentation to the Chair, by the deadline set by the Chair, which must be at least one month before the next meeting of the Departmental P&T Committee.
- b. S/he shall provide a list of potential extramural evaluators and disclosure of preexisting relationships with those individuals.

3. The Department Chair responsibilities:

- a. The Chair is responsible for timely notification of faculty regarding deadlines set by the Office of the Senior Associate Dean for Faculty Affairs and Faculty Development.
- b. S/he shall be responsible for making all essential arrangements for meetings of the Departmental P&T Committee, in a timely manner.
- c. S/he shall notify the candidate of the nature of the materials to be assembled for the Promotional File and the date the documentation is required to be furnished to the Department P&T Committee.
- d. S/he shall compile all Annual Agreements of Academic Expectations (AAAE) for department level reviews.
- e. S/he shall solicit three extramural evaluations, other than when an exception to this requirement exists (as stated in the Appendix A of the Standards Document). All internal and extramural letters will be included in the promotional file.
- f. S/he shall request, receive and make available for review to the Departmental P&T Committee members all documents of the promotional files of candidates for promotion and/or tenure at least 5 business days before the Departmental P&T Committee meets.
- g. S/he shall notify members of the appropriate Departmental P&T Committee of the date, time and place of the meeting, with provision of at least 5 business days for all members to study the documents in the candidate's Promotional File available in the Department Office, unless otherwise specified.
- h. S/he shall provide to the Departmental P&T Committee the criteria by which candidates are evaluated by providing the Standards Document and any departmental amendments (if such amendments exist and have been approved by the Dean) and this Process Document.
- i. S/he shall secure the written recommendation of the Departmental P&T Committee, after their meeting, for the Promotional File in a timely fashion.
- j. The Chair shall prepare a separate evaluation and recommendation that shall be included in the candidate's Promotional File going forward, with content as specified in the Standards Document.

k. If both reviews (Departmental P&T Committee and Chair) are negative in the case of an early request for tenure consideration, the Chair shall meet with the faculty member to provide an opportunity for withdrawal of promotional request. This is only an option for tenure reviews that are early requests.

l. The Chair is responsible for forwarding the complete Promotional File including the Departmental P&T Committee letter and his/her Chair's letter to the staff of the COM FAP Committee in the Dean's office prior to the deadline.

4. The Departmental Promotion and Tenure Committee *and the BCC A&P Committee* responsibilities:

a. The required documents listed above (Section IV. C.) must be assembled into a Promotional File and be available for review by the Departmental P&T Committee members *or the BCC A&P Committee members* at least 5 business days preceding the discussion and formulation of recommendation on the personnel action.

b. In advance of their meeting, Departmental P&T Committee members shall familiarize themselves with the criteria for the particular action.

c. In advance of the meeting, Departmental P&T Committee members shall familiarize themselves with documents in the candidate's Promotional File.

d. Departmental P&T Committee members *or BCC A&P Committee members* shall meet and discuss the credentials of the candidate and how they compare to the Standards Document and any additional Departmental criteria (if they exist and have been approved by the Dean).

e. Recommendation Letter: The Departmental P&T Committee shall send a recommendation letter to the Department Chair; *the BCC A&P Committee shall send a recommendation to the Binghamton Dean*. Copies are given to the COM FAPC. It will state each criterion considered, how the faculty member has met or not met each criterion and the overall recommendation. Comments regarding collegiality (defined as how someone functions as a departmental and institutional member) should be included in the Department P&T Committee's evaluation *or BCC A&P Committee's* evaluation. It will be written by the Committee Chair, must contain a consensus recommendation, and will be distributed to all members of the Departmental P&T Committee and the Department Chair. It will be signed by the Chair of the Departmental P&T Committee *or Chair of the BCC A&P Committee*. Minority views should be reflected in the letter.

f. Quorum: Two-thirds of the total number of the Departmental P&T Committee *or BCC A&P Committee* shall constitute a quorum. Votes cannot be taken in the absence of a quorum present for the meeting. Written commentary from members who will be absent is acceptable, but absentee votes are not. Recusal of individuals attending does not affect the quorum.

5. College of Medicine Faculty Appointment and Promotion Committee (COM FAPC) responsibilities:

- a. COM FAPC composition - As specified in the Bylaws, the College of Medicine Faculty A&P Committee membership consists of tenured representatives selected by the Dean of the College of Medicine from the basic science and clinical faculty who hold the academic rank of Professor, including two representatives from the Binghamton Clinical Campus.
- b. COM FAPC term of membership - The term of membership on the COM FAP Committee shall be for three years. No member of the COM FAP Committee shall serve for more than three terms consecutively.
- c. COM FAP Committee officers and term of office - At least every 3 years, at the first meeting of the academic year, the Vice Chair shall become the Committee Chair. The Dean shall appoint a new Vice Chair who will be Chair the following term. The Vice Chair will run the meetings and have signature authority for the Chair in the Chair's absence. The Office of the Senior Associate Dean for Faculty Affairs and Faculty Development will provide a list to the Dean of those members eligible for appointment as Vice Chair. The Chair and Vice Chair shall have the right to vote on all voting issues within the COM FAP Committee, unless they must recuse themselves.
- d. Quorum: Two-thirds of the total number of the Syracuse-based membership of the COM FAP Committee shall constitute a quorum. Votes cannot be taken in the absence of a quorum present for the meeting. Written commentary from members who will be absent is acceptable, but absentee votes are not acceptable. Recusal of individuals attending does not affect the quorum.
- e. Charge of the COM FAP Committee.

It is the responsibility of this committee to take into consideration both the Department Chair's recommendation and the Departmental P&T Committee's *or the Dean of the BCC and the BCC A&P Committee's* recommendation. It is also this committee's responsibility to independently examine each candidate's credentials for consistency with College of Medicine policies on promotion and tenure (Standards Document) and any approved incremental departmental amendments (if they exist).

The COM FAP Committee reviews the professional records and supporting documents of candidates for appointment or promotion to the rank of Associate Professor or above. The committee also reviews the professional records and supporting documents of candidates for continuing (tenured) appointments. The reviews are conducted with reference to the criteria set forth in the Standards Document (Policy for Promotion and Tenure Considerations, College of Medicine) and any existing departmental amendments.

While each member of the COM FAP Committee is responsible for reviewing the merits of every case, a primary and (at the discretion of the COM FAP Chair) a secondary reviewer are appointed by the COM FAP Committee Chair in advance of meetings to present each case. Reviews can be submitted in absentia in writing via the COM FAP Chair.

f. The COM FAP Committee's recommendation is governed by a vote taken by individual written ballot, with the totals of the ballot recorded. Individual's votes are not recorded.

g. Conflicts Of Interest, Recusal and other Ethical Considerations:

i. Reviews for promotion and tenure need to be done objectively, fairly and consistently for all faculty members. Credentials for promotion and tenure should be evident and supported by the documents submitted by the candidate and department. The recommendation to the Dean by the COM FAP Committee must reflect an objective assessment of that faculty member's performance, including collegiality, during the time period under review and should state:

- a. the criteria with which he/she are being evaluated.
- b. the accomplishments by the faculty member during the period under review.
- c. whether those accomplishments meet the criteria.

ii. Personal testimonies on behalf of, or against faculty during COM FAP Committee meetings may create an unfair disadvantage or advantage for faculty who are not known by other members of the Committee. Reviews must be based on the documentation provided and not verbal reports. Departmental members of the faculty member under review and those with personal conflicts of interest such as research collaborators must recuse themselves and leave the room (this includes the Chair and Vice Chair of the Committee when applicable) when the candidate's review is announced, during the discussion, and must not be present for voting. Individuals recusing themselves need not state the reason for recusal. If the committee members considering the candidate desire clarification of research, clinical, service or other information with which they may be unfamiliar, they may invite a recused member (or another representative) to the meeting to provide clarification of specific issues pertaining to the candidate. Once the issues are clarified, the recused member or other representative must leave the room before final discussion and voting are completed.

h. COM FAP Committee proceedings are confidential.

6. Additional responsibilities of the Dean of the College of Medicine are specified in the Standards Document.

7. Additional responsibilities of the Office of the Senior Associate Dean for Faculty Affairs and Faculty Development are specified in the Standards Document.

This document is effective **June 1, 2007 (revised June 14, 2010)**

\* This Policy for Promotion and Tenure Considerations has been developed in accordance with the Policies of the Board of Trustees and the contract between United University Professions and the State of New York. Subsequent changes to either of those documents will take precedent over this promotion and tenure policy.