

# STANDARDS FOR APPOINTMENT, RANK, PROMOTION AND TENURE COLLEGE OF MEDICINE, SUNY UPSTATE MEDICAL UNIVERSITY

## INTRODUCTION

The purpose of this document is to present the criteria employed within the College of Medicine (the College) for the evaluation of rank at the time of initial appointment, promotion and/or tenure of all paid faculty regardless of pay source and will include, but not be limited to, those paid through State sources, the Research Foundation, University Hospital, the Veterans Administration, the individual MSGs and Med Best. Unpaid, voluntary faculty will be covered in separate appendices. The required documentation that must be provided to demonstrate that faculty members have met those standards will also be specified in this document. The process by which faculty members are evaluated and by which such documentation is produced will be contained in a separate document.

Departmental amendments to this document are not required. It is required that departmental amendments may only stipulate criteria more rigorous or specific than the minimum standards in this document (Standards for Appointment, Rank, Promotion and Tenure, College of Medicine). Where they exist, higher standards developed for evaluation by departments must be inserted **in bold** in the appropriate section of this document. Departmental amendments must be submitted for review and approved by the Dean.

The contents of this document (Standards for Appointment, Rank, Promotion and Tenure, College of Medicine) set minimum standards that apply to all paid faculty as defined above and shall be the governing document applied to faculty in those departments that have not had supplementary amendments approved as provided in the previous paragraph.

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

A. Appointment of Instructors - Appointment at the rank of Instructor is reserved for individuals joining the paid faculty who are not qualified for appointment at the Assistant Professor rank (See **Section I. B**). Once qualified, promotion to the rank of Assistant Professor will be automatic upon application by the Chair and approval by the Dean. Masters level trained professionals are eligible for the faculty rank of instructor, as are non-board certified practitioners.

B. Appointees to the rank of Assistant Professor shall have an advanced, terminal degree. Terminal degrees in health care are usually doctoral degrees (M.D., Ph.D., D.Sc., Ed.D. or equivalent) although masters level degrees are considered terminal degrees in some disciplines where doctorates are generally unavailable. Faculty involved in patient care shall have successfully completed post-graduate training required for board certification in the applicable specialty. Details follow in **Section I. B. 1. and 2**).

1. Faculty involved in patient care (practitioners) shall become board certified in their respective specialty within five (5) years of initial appointment to the faculty and shall not be promoted to higher ranks or considered for tenure without board certification. Recertification is required in some disciplines and must be kept current. However, see Section I. B. 2. for an exception.

2. For promotion or appointment purposes, in the absence of American Board Certification the equivalency of Foreign Boards will be determined by the Chair of the Department based upon specialty-specific objective criteria. In the absence of any Boards, due to some countries having no equivalent board process, the Chair will demonstrate comparable training, proficiency and competency to be determined in consultation with the Dean at the time of appointment.

C. Appointment of Associate or Full Professors and appointment with tenure (unqualified) - Appointments to the rank of Associate Professor or above or appointment with tenure shall require post-doctoral (e.g., post-MD or post-PhD) training or experience. For those faculty involved in patient care, the appointee shall be board certified or recertified, in disciplines where required, or otherwise qualified as specified in **Section I. B. 1. and 2.** above.

D. Appointment at all Advanced Ranks (Associate Professor or Professor) – In addition to the requirements set forth in **Sections I. A., B., C.** above, appointment at advanced rank or appointment with tenure requires review by the College of Medicine Faculty Appointments and Tenure (FAP) Committee and approval by the Dean. The criteria for appointment at advanced rank or tenure are equivalent to having met the criteria for promotion to advanced rank or tenure at Upstate during a review period of comparable duration at some time in their career.

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

A. Each paid faculty member, when appointed, shall receive:

1. a written statement specifying overarching responsibilities (Statement of Academic Expectations or SAE),
2. a copy of this document (Standards for Appointment, Rank, Promotion and Tenure, College of Medicine).
3. a copy of the departmental guidelines for promotion and tenure (Standards for Appointment, Rank, Promotion and Tenure, College of Medicine amended with bolded, incremental criteria), if one exists,
4. Tenure-eligible faculty members shall be informed of the normal date for tenure, if granted, in the President's letter of appointment,
5. Tenure-eligible faculty members shall be informed of the approximate start date for the departmental tenure review in the Dean's/Chair's letter of offer.

## III. STANDARDS FOR PROMOTION AND TENURE

### A. THE CRITERIA FOR ACHIEVING TENURE (CONTINUING APPOINTMENT)

1. Tenured appointments

a. Definition: A continuing appointment (commonly referred to as a “tenured” appointment) shall be an appointment to a position of academic rank, which shall not be affected by changes in such rank and shall continue until resignation, retirement, or termination in accordance with Article XI of the State University of New York Policies of the Board of Trustees.

## 2. Eligibility for tenure and consideration for tenure

a. Eligibility for continuing (tenured) appointment. Tenure-eligible faculty must be funded at the level of minimum guidelines set in the bargaining agreement and by tenurable state lines. Further State employment at SUNY Upstate Medical University of instructors and assistant professors of academic rank who have completed a total of seven years of service in a position or positions of academic rank, must be on the basis of a continuing (tenured) appointment; provided however, that such appointment shall not be effective until made so by the Chancellor. Further State employment at SUNY Upstate Medical University of professor and associate professors of academic rank who have completed a total of three years of service in a position or positions of academic rank, must be on the basis of a continuing (tenured) appointment; provided however, that such appointment shall not be effective until made so by the Chancellor.

b. Consideration of continuing appointment (tenure) of Instructors or of Assistant Professors without promotion to an Associate Professor rank will not be permitted. If tenure of such faculty is to be considered, requests for promotion to the Associate Professor rank and tenure must be submitted jointly.

c. Faculty with the rank of Assistant Professor or higher shall have an advanced, terminal degree. Terminal degrees in health care are usually doctoral degrees (M.D., Ph.D., D.Sc., Ed.D. or equivalent). Therefore faculty members without terminal degrees are not eligible for consideration of tenure by FAP Committees.

d. Faculty who provide patient care (practitioners) shall not be considered for promotion to higher rank than Assistant Professor or tenured without Board Certification or recertification in disciplines where this is required, with the exceptions stated in **Section I. B. 2**. Individuals meeting the stated exceptions would be eligible for promotion in rank and tenure (continuing appointment).

e. Tenure upon initial appointment: Tenure is essentially a lifelong commitment to an individual with considerable financial obligation by the institution. If possible, it is best to avoid assuring a lifetime position before the individual under consideration has had the opportunity to demonstrate competence in the surroundings peculiar to this new position. Tenure is not normally granted as a condition of appointment; however, it is understood that for certain persons of exceptional merit, especially for those who already have tenure in other universities, tenure on initial appointment may be appropriate. Thus, tenure may be recommended to the Dean by the Chair and then the College of Medicine FAP Committee at the time of appointment. Any individual recommended for tenure on initial appointment must meet all criteria for tenure described in this document; more specifically, the individual should have met the criteria for tenure at Upstate during a review period of comparable duration at sometime in their career and this should be clearly documented in letters recommending immediate tenure from the Chair and

College of Medicine FAP Committee to the Dean. Continuing (tenured) appointments will not be made effective until approved by the Chancellor.

f. Prior Service: In determining eligibility for continuing appointment (tenure), satisfactory full-time prior service in an academic rank at any other accredited academic institution of higher education (or equivalent) may, at the discretion of the Dean, be credited as service, up to a maximum of three years at the time of appointment to SUNY Upstate Medical University. In accordance with Board of Trustees policies, this request must be sent to the Dean no later than six months after the date of initial appointment.

g. Early consideration: Early consideration for tenure is appropriate in rare circumstances if all of the criteria that would have been evaluated after the five-year review interval (i.e., during the sixth year) are clearly fulfilled earlier than the sixth year. Faculty at the rank of Assistant Professor who are requesting early tenure must also meet the criteria for promotion to Associate Professor for early tenure to be granted. The Chair's letter must detail the rationale for early consideration.

3. The criteria for granting tenure shall include the following:

a. Eligibility for the rank of Associate Professor.

b. Proficiency in teaching as defined in Appendix A.

c. Proficiency in research as defined in Appendix A, if research is an area of professional activity. In the humanities "production of creative works" can be substituted for research.

d. Proficiency in University service and other duties as defined in Appendix A, if service is an area of professional activity. This area can be further defined as clinical service or community service (service to the Department, University, Region, State, Nation or World) that primarily involves medical and/or basic science expertise.

e. In addition to proficiency, excellence must be demonstrated in teaching, research, or service.

f. Scholarship as defined in Appendix A. To assist the Dean in his/her evaluation of scholarship all reprints of papers and other forms of scholarship produced during the review period will be forwarded to the Dean. Candidates will be asked to designate their four most significant publications, at least one of which must represent work performed during the period of review.

## B. THE CRITERIA FOR ACHIEVING PROMOTION TO ASSOCIATE PROFESSOR

### 1. Time in Rank

a. The minimum expected time in rank of Assistant Professors is the completion of six years. Therefore, the process of requesting promotion to Associate Professor should begin after 5 years of time in rank, with presentation to the COM Faculty Appointments and Promotions Committee in the middle of the sixth year. Exceptions to this schedule are in sections b, c, d, e below:

b. For faculty starting at the rank of Instructor, time at this rank can be counted toward the six years prior to promotion to Associate Professor. Indeed, for faculty paid on tenurable state lines, since Instructor is considered full academic rank, the time as Instructor must be counted in consideration of promotion to Associate Professor.

c. Immediate appointment at the rank of Associate Professor is appropriate for those faculty members who have held Associate Professor rank at a comparable institution of higher learning (or equivalent) or for those who have served at the Assistant Professor rank or equivalent for 6 or more years elsewhere. They shall have satisfied the same criteria as described herein for promotion to Associate Professor (**Section III. B. 2.**) during a comparable five-to-six year period at some time in their earlier career.

d. For those not qualifying for immediate appointment at the rank of Associate Professor but who have previous full-time service with the rank of Assistant Professor in institutions of higher learning or equivalent, previous time spent at the Assistant Professor rank may be credited in the tenure and promotion review at Upstate Medical University to a maximum of 3 years. Accomplishments and service while at Upstate Medical University should follow the same or greater trajectory as at the faculty member's previous institution.

e. Early consideration - Requests for early consideration are appropriate in rare circumstances if all of the criteria that would have been evaluated during the sixth year are clearly fulfilled earlier. The Chair's letter must detail the rationale for early consideration.

## 2. Other criteria for promotion to Associate Professor

a. Eligibility for the rank of associate professor (time in rank as assistant professor, terminal degree, post-doctoral experience or training, and board certification or recertification in disciplines where required, as specified in **Section I. B. 1. and 2.** above).

b. The candidate's record shall provide evidence of proficiency in the areas of professional activity-- teaching, research (in the humanities "production of creative works" can be substituted for research), University service (clinical and/or community) and other duties. Teaching is a required area for all members of the faculty. Proficiency in each area is defined in Appendix A.

c. In addition to proficiency, excellence must be demonstrated in one area. Excellence in each area is defined in Appendix A.

## C. THE CRITERIA FOR ACHIEVING PROMOTION TO PROFESSOR

The title of Professor holds special recognition in the College and the Academic Community. Not all Associate Professors will reach the rank of Professor. Promotion to Professor should not be awarded on the basis of longevity but rather on the basis of superior achievement and promise of continuing contributions.

## 1. Time in rank

a. The minimum expected time in rank of Associate Professors is seven years, however, while length of time in rank as an Associate Professor may be considered as a criterion for promotion, it is not the only criterion. It should be understood that a department is not obligated to make a recommendation after any specific interval; a longer review interval than six years is commonly necessary to establish acceptable credentials. Exceptions in b, c, d as follows:

b. Immediate appointment at the rank of Professor may be appropriate for those faculty appointed who have held Professor rank at a comparable institution of higher learning (or equivalent) or for those who have served at the Associate Professor rank or equivalent elsewhere. They shall have satisfied the same criteria as described herein for promotion to Professor (**Section III. C. 2.**) during a comparable six year review period at some time in their earlier career.

c. For those not qualifying for immediate appointment at the rank of Professor but who have previous full-time service with the rank of Associate Professor in institutions of higher learning or equivalent, previous service may be credited to early reviews as long as the faculty member's productivity at Upstate indicates the same or greater trajectory as at their previous institution.

d. Early consideration is appropriate in rare circumstances if all of the criteria that would have been evaluated after the six-year review interval are clearly fulfilled earlier than six years. The Chair's letter must provide the rationale for requesting early consideration.

## 2. Other criteria for promotion to Professor

a. The candidate's record shall provide evidence of proficiency in the areas of professional activity-- teaching, research (in the humanities "production of creative works" can be substituted for research), University service (clinical and/or community), and other duties. Proficiency in each area is defined in Appendix A.

b. In addition to proficiency, excellence must be demonstrated in one area.

## D. REVIEWS OF LESS THAN FULL-TIME FACULTY

1. The granting of tenure is not available for less than full-time faculty. However, promotion in rank is available for less than full time faculty.

2. In a promotion consideration for a part-time faculty member there should be tangible evidence that a candidate's contributions are significant to the College's academic mission. They should be promoted in rank as a way of the Institution demonstrating its appreciation for contributions and services rendered.

3. Part-time faculty shall be held to the criteria specified for full-time non-tenurable faculty with consideration of their part-time status. This is especially important where the percentage FTE

and pay is small, such as for faculty in Binghamton. It is important to recognize the contributions of those faculty and to reward them through promotion in rank.

#### IV. DOCUMENTATION

A. Candidate's Promotional File: In all considerations of appointment at advanced rank, promotion and tenure, including those at the departmental level, the personnel documents forwarded to the dean pertaining to the faculty member under consideration will include:

1. current curriculum vitae in a standard format provided by the Office of the Senior Associate Dean for Faculty Affairs;
2. official notice of any manuscripts listed as "in press" or grants awarded but not started;
3. an up-to-date Statement of Academic Expectations, along with any previous Academic Expectations documents if available;
4. 3 extramural letters of evaluation (see next [Section IV. B.](#));
5. teaching evaluations including trainee evaluations (e.g., students, residents) and complete educator's portfolio (these items are not required for new appointments);
6. reprints of articles and documentation of other forms of scholarship (required for tenure considerations) during the time of review (last five years for tenure). The four most significant publications, at least one of which shall be during the period of review, should be designated in the curriculum vitae;
7. Optional: a two page (max) personal statement by the candidate;
8. Optional: letters of support or other supporting material;
9. The Departmental Promotion and Tenure Committee shall provide a letter of recommendation to the Department Chair to be included in the candidate's Promotional File. The letter must include comments on whether or not the candidate fulfills the criteria of proficiency in all areas of involvement and excellence in one area. The letter must also include commentary on scholarship if tenure is being recommended. Comments regarding collegiality, defined as how someone functions as a team member, should be included in the Department FAP Committee's letter. For faculty in a tenurable position at the time of implementation of this document, comments should also be provided about whether the faculty member meets the criteria that were in place at the time of their appointment;
10. The Chair shall prepare a letter of recommendation to be included in the candidate's Promotional File. This letter may include comments on the Departmental FAP Committee letter (see [Section IV. A. 8.](#)) and it must include comments on extramural evaluations as set forth in [Section IV. B. 2.](#) It also must include comments on whether or not the candidate fulfills the criteria of proficiency in all areas of involvement and excellence in one area. The letter must also include commentary on scholarship if tenure is recommended. Comments regarding collegiality, defined as how someone functions as a team member, should be included in the Chair's letter. For faculty in a tenurable position at the

time of implementation of this document, comments should also be provided about whether the faculty member meets the criteria that were in place at the time of their appointment.

11. The College of Medicine Faculty Appointment and Promotions Committee (COM FAPC) must prepare an independent recommendation to forward to the Dean.
  - a. The majority recommendation is to be transmitted to the Dean in the form of a letter that is signed by the Chair or Vice Chair in the Chair's absence. It is meant to inform the Dean fully of any issues associated with the promotability or tenurability of the candidate.
  - b. The letter must state the results of the ballot and then explicitly state the criteria and how the faculty member meets or does not meet the criteria.
  - c. For faculty in a tenurable position at the time of implementation of this document, comments should also be provided about whether the faculty member meets the criteria that were in place at the time of their appointment.
  - d. If the vote is not unanimous, the letter should, when possible, indicate what issues gave rise to the minority opinion i.e., what criteria may not have been fully met.
  - e. In cases where the COM FAP Committee's recommendation differs from that of the Department Chair or the Departmental FAP Committee, this should also, when possible, be explained in the COM FAP Committee's recommendation to the Dean.
12. In addition to these generic documents to be included in every file, specific forms of documentation are required to demonstrate proficiency and excellence in the areas of teaching, research (in the humanities "production of creative works" can be substituted for research) and service as well as scholarship, as detailed in Appendix A.

## B. Extramural Evaluations

1. Three official extramural evaluations are required by the Dean to document whether the faculty member has met the criteria for promotion and/or tenure and must be solicited by the Chair. These must come from evaluators who hold an academic rank at least equal to that proposed for the candidate. Letters may be from either collaborators or independent evaluators. However, at least one letter must be from an independent evaluator. Letters from collaborators are generally not given the same weight as those from independent evaluators, and are not acceptable if there has been active collaboration within 3 years. Letters of evaluation (as opposed to letters of support) are specifically intended to assess whether the candidate meets the specified criteria based on the evidence available. In contrast to letters of evaluation, letters of support may come from individuals regardless of academic rank who can provide evidence of the candidate's excellence.

2. The method for selection of evaluators and their relationship to the University and the candidate (for example if they have been former faculty, co-workers or collaborators), if any, must be clearly stated in the Chair's evaluation letter to the Dean along with certification of the professional expertise and objectivity (non-mentor relationship) of the evaluators. Mentors

(graduate, post-graduate, residency or fellowship supervisors) are not acceptable evaluators for the three official letters. Additional supplementary letters from mentors may be submitted, but must be identified as such.

3. In some specialties, outside peer review of clinical activities is not practical. A non-inclusive list of such specialties would include hospital-based disciplines such as pathology, emergency medicine, hospitalist medicine and anesthesiology. In this circumstance, internal evaluation of excellence by peers and department chair, nurses and some other objective measures of adherence to quality standards must document excellence according to the standards discussed above.

#### C. Responsibility of the Dean of the College of Medicine

1. The Dean reviews the professional records and supporting documents of candidates for appointment, promotion and continuing (tenured) appointments. The reviews are conducted with reference to the criteria set forth in this document (Policy for Promotion and Tenure Considerations, College of Medicine), its appendices and any existing departmental amendments. The Dean is responsible for reviewing the merits of every case and considering the recommendations of the Departmental FAP Committee, the Departmental Chair and the COM FAP Committee.

2. Grandfathering – The dean has the discretion to apply the newly stated criteria to previously appointed faculty. Faculty members shall be affected by any amendments to or change in the criteria for tenure and promotion subsequent to their appointment. However, for faculty being reviewed for tenure or for promotion to associate professor with tenure, consideration will be granted by the Dean of the guidelines in place at the time of their initial appointment to the faculty at Upstate.

3. The recommendation to the President by the Dean will be in the form of a signed cover sheet and will be forwarded first to the Office of the Senior Associate Dean for Faculty Affairs.

#### D. Responsibility of the Office of the Senior Associate Dean for Faculty Affairs

1. The Office of the Senior Associate Dean for Faculty Affairs will track all tenure eligibility dates and notify departments of the time for initiation of tenure-review and deadlines for document submission by the Chair of the Department.

2. The Office of the Senior Associate Dean for Faculty Affairs will track term renewal dates and notify departments of the time frame for initiation of term renewals.

3. The Office of the Senior Associate Dean for Faculty Affairs will receive all materials for submission to the College of Medicine FAP Committee and Dean and will review these materials for completeness and adherence to the standards for documentation required by these documents, notifying the candidate, departmental committee chair or departmental chair if documents submitted do not comply with these standards.

4. In accordance with the UUP Contract, the Senior Associate Dean for Faculty Affairs will notify all faculty members by certified mail of a five-working-day window within which they can review and respond in writing to the contents of their Candidate's Term-Renewal or Promotional File before the Senior Associate Dean for Faculty Affairs forwards it to the President.

This document is effective March 1, 2007.

\* 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 precedence over this promotion and tenure policy.