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| Reviewed by MCAEC: 11/9/20 | Responsible University Officer: Dean, College of Medicine |
| Approved by Dean's Executive Committee: 1/12/21 | Policy Owner: Dean, College of Medicine |
| Dean Chin's Final Approval: 1/12/21 | Policy Contact: Senior Associate Dean for Faculty Affairs & Faculty Development |

Standards and Criteria for Appointment, Rank, Promotion, and Tenure Policy

POLICY STATEMENT

The purpose of this policy is to describe the minimum criteria and standards set forth within the College of Medicine (COM) for the eligibility and qualification for determination of rank at the time of initial appointment and for promotion of all paid faculty. This policy will describe and specify the record of evidence necessary to demonstrate a faculty member has met criteria and standards bearing on decisions to appoint, promote and/or grant tenure.

Criteria for promotion will apply to, but not be limited to, those faculty paid through State sources, and the Research Foundation. For example, they may be utilized for designated affiliated faculty paid through other sources who serve as faculty, providing professional services and activities at Upstate or our affiliated hospitals and available to the State for clinical and educational purposes.

Standards and criteria for continuing appointment (commonly referred to as a "tenured" appointment) apply only to tenure-eligible faculty. These faculty must be funded at the level of minimum guidelines set in the bargaining agreement and by tenure-eligible state lines, consistent with SUNY Board of Trustees policies, and must be eligible for appointment or promotion to the associate or professor rank.

Departmental amendments to this document are not required. Where a department identifies criteria and/or standards more rigorous or specific than the minimum criteria and/or standards set forth in this policy (Standards and Criteria for Appointment, Rank, Promotion and Tenure, College of Medicine), a departmental amendment to this policy is required. Where they exist, higher standards developed for evaluation by departments must be inserted in bold in the appropriate section of this document and/or provided as a separate addendum. Departmental amendments must be submitted for review and approval by the Dean.

For faculty on the Binghamton Clinical Campus (BCC), the BCC Dean or Dean's designee shall assume the role of Department Chair and the BCC Appointments and Promotions committee will assume the role of the Departmental Promotion and Tenure Committee throughout this document, unless otherwise specified.

Academic faculty, professional employees, and affiliated professionals who perform or are anticipated to perform in an academic faculty role for the College of Medicine are eligible to apply for faculty appointment and promotion using this policy.

REASONS FOR POLICY

LCME Element 4.3 Faculty Appointment Policies

A medical school has clear policies and procedures in place for faculty appointment, renewal of appointment, promotion, granting of tenure, remediation, and dismissal that involve the faculty, the appropriate department heads, and the dean, and provides each faculty member with written information about his or her term of appointment, responsibilities, lines of communication, privileges and benefits, performance evaluation and remediation, terms of dismissal, and, if relevant, the policy on practice earnings.

State University of New York, Policies of the Board of Trustees. Article XII: Evaluation and Promotion of Professional Employees and Article XI: Appointment of Employees. https://www.albany.edu/hr/assets/Policies_BOT.pdf

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PROCEDURES

- I. **Determining Rank, Certification Requirements, Joint Appointments, and Tenure at Time of Appointment**
 - A. Rank
 - 1. 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.

2. Assistant Professors: Appointees to the rank of Assistant Professor shall have an advanced, terminal degree. Terminal degrees in health care are usually doctoral degrees (MD, DO, PhD, DSc, EdD 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.
3. Senior level appointments: Appointments to the rank of Associate Professor or Professor, with or without 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., below.

In addition to the requirements set forth in Sections I. A.1,2, above, and certification requirements (I.B, below) appointment at advanced rank and appointment with tenure require review by the College of Medicine Faculty Appointments and Tenure Committee (COMFAPC) and approval by the Dean. The criteria for appointment at advanced rank or tenure are equivalent to having met the criteria and standards for promotion to advanced rank or tenure at Upstate during a review period of comparable duration prior to consideration of appointment at advanced rank or tenure at Upstate. See Policy for Faculty Rapid Review for candidates wishing to be appointed at the same (senior) rank as held at their prior (comparable) institution. Tenure must still be considered at a meeting of the COMFAPC and applications for new appointments with tenure may not use the Rapid Review Policy for the tenure portion of the application.

The COMFAPC may consider appointment at the rank of Associate Professor for those candidates who have held Associate Professor rank at an equivalent or comparable institution, or for those candidates who have held rank at Assistant Professor, or equivalent, for 6 or more years, at an equivalent or comparable institution. Such equivalency may apply to the rank of Instructor of those with terminal degrees at institutions where the practice and sequence is for faculty to begin their academic career at the rank of instructor, prior to promotion to, and time served at, the rank of Assistant Professor. Such equivalency of time in rank, for a minimum of five years, will qualify the candidate for consideration by COMFAPC for promotion to the rank of Associate Professor.

Appointment at the rank of Professor may be considered for those candidates who have held the rank of Professor at an equivalent or comparable institution or for those candidates who have held rank at Associate Professor, or equivalent, for 6 or more years, at an equivalent or comparable institution. Such equivalency may apply to the rank of Instructor of those with terminal degrees at Institutions where the practice and sequence is for faculty to begin their academic career at the rank of instructor, prior to promotion to, and time served at, the rank of Assistant Professor.

B. Certification Requirements

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 current.

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 describe comparable training, proficiency and competency to be determined in consultation with the Dean at the time of appointment.

C. Joint Appointments

If, in addition to undertaking a primary professional obligation in a department, a faculty member also undertakes a secondary professional obligation in a different department, the faculty member may also be appointed with a temporary appointment to the faculty of that department, where they would hold a secondary, or joint appointment. A secondary faculty appointment may be a single secondary appointment or span multiple departments and/or colleges. The secondary faculty appointment does not carry credit toward continuing appointment. The chairs of departments and the Dean(s) must approve secondary or joint appointments, which must be at the same rank in both departments. SUNY recognizes only a single appointment and rank.

D. Continuing or Tenured Appointments Upon Initial Appointment

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.

- Any faculty recommended for tenure upon initial appointment must meet all criteria for tenure described in this document.
- Tenure may be recommended to the Dean by the Chair and then the COMFAP Committee at the time of appointment.
- Faculty members without terminal degrees are not eligible for consideration of tenure.
- Tenure-eligible faculty must be funded at the level of minimum guidelines set in the bargaining agreement and by tenure-eligible state lines and must be eligible for appointment at the associate or professor rank.
- Faculty candidates for tenure should have met the criteria for tenure at Upstate (see Section III of this policy) during a review period or interval of comparable duration at some time in their career and this should be clearly documented in letters recommending immediate tenure from the Chair and COMFAP Committee to the Dean.
- Continuing (tenured appointments) will not be made effective until approved by the Chancellor.
- Prior Service: In determining eligibility for continuing appointment (tenure), satisfactory full- time prior service in an academic rank at an 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. See page 10, Article XI, Title B.d, of the BOT policy.

II. Standards and Criteria for Senior Appointments and Promotions

A. Criteria for Proficiency for Senior Ranks:

It is expected that all faculty will be proficient in all areas of professional responsibilities as defined in their Annual Agreement of Faculty Academic Expectations (AAE).

This section serves to establish minimum college-wide standards for proficiency in the areas of Service (Clinical, Community, and Administrative), Research and Scholarship, and Teaching and Education, and Administrative and/or Community Service. Higher standards may be established by individual departments. In cases where higher standards have been adopted by departments, these standards must be submitted for review and approved by the Dean.

1. Proficiency in Service. (Clinical, Community, and Administrative)

- a. Proficiency in clinical service is demonstrated by a documented clinical assignment and the provision of high quality independent care of patients. This must be demonstrated by positive reviews and letters of support/recommendation by peers and supervisors. Assessments by the recipients of the service (referring physicians, collective reviews such as patient satisfaction inventories) must also be sought and submitted to document proficiency. Licensure, boards, insurability and admitting privileges as appropriate to the practice of the discipline must be maintained.
- b. Proficiency in community service is demonstrated by documented service and positive peer and supervisory reviews of the service. Reviews by the recipients of the service or colleagues with knowledge of the service must also be sought to document proficiency. Community Service is defined as service to local and regional government entities, community activities or organizations, as well as national and/or international venues. Consideration of community service roles will include faculty expertise in education, research, and/or patient care devoted to the wellness and healthcare needs of the community.
- c. Proficiency in administrative service is demonstrated when significant administrative efforts do not fall into one of the other categories of professional activity (teaching/education, clinical, community, or research/scholarship).

Administrative efforts may serve to indicate proficiency in the specific areas (teaching, research, clinical service) to which they are directed. For example, administrative responsibility for an educational activity (e.g.,

residency director; course director; vice chair for education, associate dean for CME, GME, Curriculum, national teaching and leadership activities such as participating in Board review) should be evaluated as part of a faculty member's teaching activity. Administrative responsibility for a clinical activity (e.g., clinic director, clinical program director, chief of service, national clinical and leadership activities such as participating in disciplinary societies) should be considered part of the clinical effort and evaluation. Administrative responsibility for a research activity (e.g., departmental vice chair for research, departmental research coordinator, associate dean for research, research administration committee membership national research and leadership activities such as participating in study sections) should be considered part of the research effort and evaluation.

2. Proficiency in Research and Scholarship

Proficiency in research is evidenced by achieving the specific aims of the research and/or quality improvement program and by the regular public dissemination of the resulting research findings. In the humanities "production of creative works" is also considered an example of scholarship and/or research. Regular is defined as *on average*, at least annual public dissemination is expected for those with at least 20% effort in research, the majority of which should be peer-reviewed journal articles. In addition to publications, the extramural evaluations sought at the time of promotion should include statements indicating performance that meets or exceeds performance of others at this stage of the career. For those with a less than 20% of their time committed to research, proficiency can be demonstrated by publications, published abstracts, book chapters, scholarly presentations, and mentorship of trainees in their research and/or quality improvement projects.

3. Proficiency in Teaching and Education

Proficiency in teaching and education is demonstrated by a documented teaching assignment and high-quality independent instruction of trainees. All faculty must have a teaching assignment and therefore must demonstrate proficiency in teaching at the time of promotion or tenure review. Evaluations by the recipients of the teaching efforts (e.g., undergraduate students, medical or other students within the University, graduate students, residents or post-doctoral fellows) must also be submitted as indications of teaching quality. Evaluations should demonstrate performance that meets or exceeds performance of others at equivalent career levels. Proficiency in teaching is also documented by positive supervisory and/or peer reviews of the teaching effort, when available.

B. Standards for Appointment or Promotion to Associate Professor Rank

1. Time in rank: The minimum expected time in rank of Assistant Professors is the completion of six years. The review process for promotion to Associate Professor is typically initiated in the fifth year of time at rank by submission of the candidate portfolio to the COMFAP Committee.
2. Prior Service: For those candidates not meeting the criteria and/or standards for appointment at the rank of Associate Professor and having held rank at Assistant Professor at an equivalent or comparable institution, a maximum of three years of time in rank may be considered for review of tenure and promotion to Associate Professor. Where advanced standing of the candidate at the rank of Assistant Professor is considered deserving, the merits of academic accomplishment achieved during the remaining interval at Upstate Medical University, prior to consideration for tenure and promotion to Associate Professor, should equal or exceed those acquired at the previous institution.
3. Early consideration: Early consideration for promotion in rank to Associate Professor may occur prior to the sixth year of holding rank at Assistant Professor. Consideration will require a portfolio documenting the criteria and/or standards for promotion to Associate Professor have been met or exceeded prior to the sixth year of holding rank at Assistant Professor.

C. Criteria for Excellence for Associate Professor Rank:

The candidate's record shall provide evidence of proficiency in the areas of professional activity as set forth in this policy in I.A. For promotion to Associate Professor, in addition to proficiency, excellence must be demonstrated in one area. For promotion to the rank of Associate Professor, excellence in each area is defined as follows:

1. Excellence in Clinical Service for Associate Professor

Excellence in clinical service requires greater levels of activity and expertise than the proficiency criteria described in II. A.1. Excellence in clinical service requires more than the delivery of good patient care. One indicator of excellence is clinical leadership. A leadership role may be documented by appropriate title, or by other documentation indicating the extent to which the candidate has responsibility for a clinical program. Tangible evidence of clinical innovation that improves patient care or offers a new technique/service would also be an indicator of excellence. Peer and supervisory reviews (if the candidate for promotion has a direct supervisor, such as a division chief) of the clinical service must be obtained and should support the rating of excellence. Improved financial support of the clinical program should be demonstrated by increased patient revenues, an expanding patient base, or grants from foundations or other funding agencies for program development. An emerging regional reputation should be documented by referral streams or invitations to speak in the area of clinical expertise. Reviews by the recipients of the service (for example colleagues, referring physicians or collective reviews such as patient satisfaction inventories) must also be sought and should support the rating of excellence.

Note documentation for excellence with regard to need for letters of evaluation (extramural letters) differs based on area of specialty (hospital based versus non-hospital based. See below, Section VI).

2. Excellence in Research for Associate Professor

In addition to the criteria for proficiency in research as stated in the above Section II.A.2, excellence in research is demonstrated by having a major responsibility for an independent research program or playing a documented leadership role in a collaborative research program. To demonstrate leadership in research, regular publication (on average at least annually) in peer-reviewed journals is required. To enable recognition of the various methods of meaningful contributions to scholarly work, including contributions of team members to collaborative science, the faculty member is asked to annotate the bibliography of publications listed on his/her CV and state the contributions made, and roles played, in the published work (e.g., conceptual ideas, data collection, data analysis, manuscript writing). If the faculty member is not a senior, corresponding, or first author, the department Chair must request a letter from the senior author describing the faculty member's role and contribution to the work. This type of information will help us define meaningful scholarly contributions.

An independent research program requires current extramural funding; federal funding support as principal investigator or project director of a multi-project grant is preferred, but other nationally peer-reviewed funding will be acceptable for promotion if evidence for recent submission and resubmission to federal sources is provided. Substantial non-federal funding may be acceptable on an individual basis. Reviews of the research via extramural letters must be obtained and should support the rating of excellence.

3. Excellence in Teaching and Education for Associate Professor

In addition to the criteria for proficiency in teaching as stated in above in II. A.3, excellence in teaching is best demonstrated by a documented major responsibility for (i.e., leadership role in teaching, leadership does not require formal recognition by a title) and innovation in a teaching program. Excellence in teaching implies more than just good teaching or continuing unchanged previously developed courses and requires the demonstration that the candidate is a major contributor to a scholarly teaching program, and has demonstrated innovation in their teaching activities for which evidence must be presented. Scholarly teaching is defined as the use of resources including the educational literature to guide innovation. Supervisory and/or peer reviews of the teaching effort, for example, described in letters of support/recommendation or formal peer reviews, must be obtained and should support the rating of excellence. Reviews by the recipients of the teaching efforts (e.g., medical students, graduate students, residents or fellows) must also be obtained and should support the rating of excellence.

4. Excellence in Administrative and/or Community Service for Associate Professor

Excellence in Administrative and/or Community Service is infrequently utilized as a category for promotion, since faculty who attain these roles are often already in senior positions. However, on occasion assistant professors are appointed to such roles and general administrative activities are promotion and tenure eligible activities and the same general guidelines for excellence in clinical service should be followed. Administrative and community service excellence may be used as an area of excellence for promotion.

Excellence in administration is demonstrated when administrative efforts or roles extend beyond support of other areas, or if administration is considered a major aspect of the faculty role (through title and percent effort), the leadership/administration category can be considered for promotion. Examples include, but are not limited to leadership of institutional, departmental, or national committees; assignments with greater than 20% effort such as department chair, assistant dean, associate dean, directorship, or comparable administrative assignment.

Documentation of an extraordinary level and quality of administration and/or community service (to the Department, University, Region, State, Nation or World involving medical, basic science or related expertise) may be provided as the basis for promotion to associate professor. Tangible evidence of administrative or community innovation that improves healthcare, aspects of management, medical education, or community health, would be an indicator of excellence. Peer and supervisory reviews and/or letters of support of the administrative or community service efforts must be obtained and should support the rating of excellence. Reviews by the recipients of the service (for example colleagues, direct reports, superiors) must also be sought and should support the rating of excellence. Scholarship in administration through publications demonstrating regional or national awareness of innovative community programs should be used to demonstrate excellence.

D. Standards for Appointment or Promotion to Professor Rank

The title of Professor holds special recognition in the College and the Academic Community. Not all Associate Professors will advance to the rank of Professor.

1. Time in rank: Consideration of a candidate's promotion from the rank of Associate Professor to the rank of Professor will typically occur after a minimum of seven years at the rank of Associate Professor. The Department Chair and Faculty are not obligated to initiate a candidate's consideration for promotion to the rank of Professor after any specified interval of time. The interval of time preceding consideration for promotion will be determined by the need to acquire the necessary merit of academic credentials, a record of superior academic achievement and the promise of continuing superior academic achievement. Exceptions to this policy are described as follows in 2 and 3.
2. Prior Service: If an individual has served as an Instructor and then an Assistant Professor at such an institution at which junior faculty are routinely hired as Instructors, this can be deemed to be "equivalent" to having served as an Associate Professor and count towards the required number of years. Faculty shall have satisfied the same criteria as described in this policy for promotion to Professor (Section II. E.) during a comparable six-year review period at some time in their career.

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.

3. Early consideration: Early consideration for promotion in rank to Professor may occur prior to the sixth year of holding rank at Associate Professor. Consideration will require a portfolio documenting the criteria and/or standards for promotion to Professor have been met or exceeded prior to the sixth year as Associate Professor. The rationale for supporting early consideration of promotion must be explicitly documented by the Chair in correspondence to the FAP Committee.

E. Criteria for Excellence for Appointment or Promotion to Professor Rank

The candidate's record shall provide evidence of proficiency in the areas of professional activity as set forth in this policy in I.A. For promotion to Professor, in addition to proficiency and demonstrated excellence as set forth for each area of excellence for the rank of associate professor, additional criteria for excellence in at least one area must be met. For promotion to the rank of Professor, excellence in each area is defined as follows:

1. Excellence in Clinical Service: Promotion to Professor based on excellence in clinical service requires evidence of extra-university leadership in clinical service or other significant recognition as a national expert. Examples of how this can be demonstrated include scholarship (defined in Section IV) or national recognition in this area as evidenced by participation in extramural clinical initiatives (examples: election to national committees or boards, participation in national guideline development, invitations as a visiting professor for clinical activity, participation in subspecialty board review or test development committee, invitation to participate in an accreditation processes (RRC, ACGME or LCME site visitor). Invitations to serve in these capacities must be submitted as documentation of this level of national involvement. Extramural evaluator letters are required for all faculty seeking promotion to full professor, including those in hospital-based specialties. When a faculty member seeking promotion to the rank of full professor is tenured, there is the expectation that they will have continued contributions to scholarship in their field of inquiry during the time period since tenure was awarded.
2. Excellence in Research: Promotion to professor based on excellence in research requires evidence of national prominence (examples: invited lectures, book chapters, service on national study sections or editorial boards or national award committees, contribution of important review articles in the field, and experience in organizing scientific conferences or editing special journal issues or books). Annual publication reflecting meaningful scholarly contributions will suffice only if the journal is judged by peers to be of highest quality and high-visibility in the discipline. In addition, for promotion to professor based on excellence in research, sustained, renewed, federal funding (or equivalent funding sources) as principal investigator or project director of a multi-project grant is required.
3. Excellence in Teaching and Education: Promotion to professor based on excellence in teaching must be based on significant recognition as a national expert or extra-university leader in teaching, which can include funding via educational grants or contracts. Examples of how extra-university leadership can be demonstrated include scholarship by developing texts or other media for teaching purposes, grants to support teaching efforts or national recognition in teaching as evidenced by participation in extramural educational initiatives (examples: election to national committees or boards involved with education, invitations as a visiting professor to present on innovations in teaching activities, participation in subspecialty board review or test development committee, invitation to be a member of an accreditation committee (for example, RRC, ACGME or LCME site visitor). Invitations to serve in these capacities must be submitted as documentation of this level of national involvement.
4. Excellence in Administrative and/or Community Service: National recognition for administrative accomplishments or community service could serve as the basis for promotion to professor under very rare circumstances and will be reviewed on an individual basis. There must be evidence of extra-university leadership, representing administrative (not clinical, teaching, or research) expertise.

III. Standards and Criteria for Tenure

Tenure is defined above in section I.D.

The criteria and/or standards for granting tenure shall include the following:

- Eligibility for the rank of Associate Professor as described above.
- Proficiency in teaching and education as defined above, in II.A.3.
- Proficiency in research and scholarship as defined above in II.A.2, if research is included in the AAE as an area of professional responsibility. In the humanities “production of creative works” can be substituted for research. Scholarship is defined in Section IV.
- Proficiency in service as defined above, in II.A.1, if service is included in the AAE as an area of professional responsibility.
- In addition to proficiency, excellence (based on rank) must be demonstrated in one of the following: teaching, research, clinical service or administrative and/or community service.
- Demonstration of scholarship in areas of excellence. Scholarship is defined below in Section IV. Assessment of scholarship by the Dean and the COMFAPC will include a review of all published work and other evidence of scholarly activity created during the appropriate interval preceding the decision of tenure. 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.

- Time in rank and early tenure: The tenure clock is generally seven years. At Upstate, tenure review occurs in the 5th year. 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., by the end of 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 and standards for promotion to Associate Professor for early tenure to be granted. The rationale for supporting early consideration of tenure and promotion must be explicitly documented by the Chair in correspondence to the FAP Committee.
- In computing consecutive years of service for the purposes of appointment or reappointment to the academic staff, periods of leave of absence at full salary shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service. For more information, see the “Stop the Clock” policy.
- Scholarship as defined below is required for tenure. 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.
- Continuing appointments are granted by the Chancellor, upon recommendation of the Dean (chief administrative officer) to such persons who, in the Chancellor’s judgment, are best qualified.

Scholarship Definition:

Scholarship is defined herein as the creation of new knowledge and the public dissemination and acceptance of it by peers as generally evidenced by citation and external letters of evaluation. Tenure will be awarded to those eligible faculty (in tenure-eligible state lines) who have a focused, self-sustaining program of scholarship. The requirements for scholarship exceed those for proficiency in any area in that the scholar plays a pivotal role in the creation of new knowledge and assumes primary responsibility for its dissemination and acceptance. This definition of scholarship is intentionally broad and is meant to include creative works in research, teaching or clinical service.

The criteria related to scholarship for tenure include at least annual publishing demonstrating a meaningful contribution to one’s field of scholarship, funding, and other evidence of scholarship as described below.

Departmental requirements may require more rigorous documentation of scholarship and these requirements must be approved as described in the second paragraph under Policy Statement and in section VI.A.3. .

Abstracts are not an acceptable form of scholarly dissemination for the purpose of either proficiency, excellence or tenure evaluation. However, abstracts accompanied by national presentations (for example platform presentations) are considered to be scholarship.

Publishing in peer-reviewed journals:

Scholarship should be documented by at least annual publication in peer-reviewed journals. If the publication record is less than annual, the department chair should justify how substantial scholarship is documented. As noted in Section II. A.1, an annotated CV and, in some cases, letters from senior authors, must provide evidence of meaningful contributions to scholarship and collaborative science. Other evidence of scholarship, as described below, may strengthen the case further, and in some cases it may be appropriate to consider such other evidence of scholarship in lieu of peer-reviewed publications.

Scholarship and peer review may include the following:

Papers on pedagogic issues, review articles, case reports, clinical outcomes studies, electronic disseminations (e.g., computer programs, CD-ROM, Videos, Web-based publications) requiring peer-review, books, book chapters, technology transfer, patents, development of new clinical or research protocols that are written, disseminated and widely accepted outside of the home institution.

Teaching: In and of itself, the act of teaching (even though it is based on empirical evidence and the literature) is not scholarship, although the associated products of scholarly teaching may be. Similarly, while excellence in teaching does not in itself constitute scholarship, materials developed to support teaching activities may be considered scholarship for

the purpose of tenure review. For example, formally developed teaching tools, educational outcomes studies, textbooks, workbooks, curricula or curricular models, study guides, computer-aided tools, new evaluation methodologies that are widely accepted outside of the home institution are considered scholarship for the purpose of tenure review.

Funding:

The creation of scholarship requires resources and the scholar is responsible for providing resources appropriate to sustaining the viability of his or her program. Particularly for research, extramural funding is additional and strong evidence of peer acceptance. Therefore, if research is the major area of effort, nationally peer-reviewed and/or federal funding must be sought and obtained per the Section II. C. 2 or II.E.2. Substantial non-federal funding may be acceptable on an individual basis. For scholarship in the humanities, education and clinical service, funding is encouraged and may be an appropriate consideration by the Faculty Appointment and Promotion Committee and the Dean.

IV. Part-time faculty reviews

Part-time faculty are those whose professional obligation is considered less than full time. Those with less than .2FTE may be promoted under voluntary faculty guidelines.

Ineligible for Tenure: The status of faculty undertaking a part-time professional obligation and serving less than full time, will be ineligible for consideration of tenure. Part-time faculty are eligible for appointment at rank and may be considered for promotion at rank.

Promotion: A consideration of promotion of part-time faculty recognizes the contributions and service rendered by part-time faculty. Part-time faculty shall be held to the criteria specified for full-time non-tenurable faculty with consideration of their part-time status.

Time in rank is subject to individual faculty members' unique contributions over time and minimum time in rank is generally equivalent to that of full time faculty.

V. Communication with Faculty

A. At time of appointment, each faculty member shall receive:

1. A written statement setting forth the professional obligations of the faculty member (Statement of Academic Expectations (SAE);
2. A copy of this policy (Standards and Criteria for Appointment, Rank, Promotion and Tenure, College of Medicine); and
3. A copy of the departmental guidelines and/or policies relevant to faculty promotion and tenure.

B. Tenure-eligible faculty members shall be informed:

1. In the President's letter of appointment, of the expected date for tenure, if granted.
2. In the Dean's/Chair's letter offer, an approximate date at which the departmental review process will be initiated.

B. At the time of promotion application, each faculty member will:

1. Be informed of the recommendation regarding promotion determined by their department promotion and tenure committee.
2. Have the opportunity to appeal this decision with their chair.
3. Be informed of the decision of the Dean, based on recommendation of COMFAPC, within 30 days of COMFAPC review.
4. Have the opportunity to appeal this decision with the Dean.

VI. Documentation

A. Candidates Promotional File:

All considerations of appointment at equivalent or advanced rank, promotion and tenure, by the Department Tenure and Promotion Committee, the Faculty Appointments and Promotions Committee (COMFAPC) and the Dean, will include the relevant and necessary documentation pertaining to the candidate's review. This documentation should be uploaded to the online promotion portal for submission prior to the committee deadlines and at least one month prior to a COMFAPC meeting:

1. current curriculum vitae in a standard format provided by the Office of Faculty Affairs and Faculty Development;
2. official notice of any manuscripts listed as "in press" or grants given notice of award;
3. the current, signed AAE and/or Statement of Academic Expectations (SAE) as well as the record of previous signed AAE's and/or SAE's.
4. three extramural letters of evaluation (see next Section VII.B); use of the request form for documentation of evaluator eligibility is recommended and may be uploaded to the online promotion portal system.
5. complete educator's portfolio using the template provided by the Office of Faculty Affairs and Faculty Development (these items are not required for new appointments) and teaching evaluations including trainee evaluations (e.g., students, residents); The educator portfolio is required regardless of area of excellence.
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. two page (max) personal statement by the candidate is optional;
8. letters of support/recommendation or other supporting material; 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; this includes review by peers and supervisors
9. letters of support from the chairs or deans of departments or colleges where faculty members have secondary appointments are recommended and these letters are anticipated to provide a stronger promotion application
10. reviews from recipients of service; these may be peer reviews of teaching, letters of support from learners, and/or letters of support from clinical referral sources, if relevant
11. clinical excellence portfolio, using the template provided by the Office of Faculty Affairs and Faculty Development, if applicable;
12. 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. It will be written by the Committee Chair, must contain a majority 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. Minority views should be reflected in the letter. The letter must include the following:
 - Specific and detailed assessments of the candidate's credentials and accomplishments meeting the criteria and/or standards of proficiency as outlined in I.A, details regarding excellence in one area must be described; It will state each criterion and standard considered, how the faculty member has met or not met each and the overall recommendation.
 - In instances where the merit of awarding tenure is deliberated, the correspondence must include specific and detailed assessments of the candidate's scholarship; and
 - 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. This assessment of candidate collegiality, includes professionalism and personal engagement in advancing the departmental and institutional goals and mission.
 - For faculty in tenure-eligible positions at the time of implementation of this policy, comments should also be provided about whether the faculty member meets the criteria that were in place at the time of their appointment.
13. The Chair shall prepare a letter of recommendation to be included in the candidate's Promotional File. This letter may include comments referring to the deliberations and decisions reached by the Departmental Promotion and Tenure Committee (see Section VII.A.9) and must include:

- Comments regarding the Departmental P&T Committee letter, particularly if there were concerns or committee members who were not in agreement with the recommendation;
 - Comments on extramural evaluations as set forth in VII.B.1 and 2;
 - How the extramural evaluators were selected;
 - The evaluators' relationships, if any, to the candidate or institution. Former faculty, co-workers or collaborators?
 - The certification of the professional expertise and the objectivity (non-mentor relationship) of the evaluators
 - Comments on whether or not the candidate fulfills the criteria of proficiency in all areas defined in II.A, and excellence in one area;
 - Specific and detailed assessments of the candidate's scholarship when tenure is being deliberated; and
 - An assessment of the candidate's collegiality, including professionalism and the candidate's personal engagement in advancing the departmental and institutional goals and mission.
 - Comments regarding the candidate's efforts and personal engagement, where applicable, to meet Upstate's diversity and inclusion mission such as via support of diverse recruitment and retention efforts, review of educational materials for bias, promotion of interprofessional understanding and respect, or other diversity, equity, inclusion and belonging activities.
 - For faculty in tenure-eligible positions at the time of implementation of this document, include comments specifically demonstrating how the candidate measures up to the requirements of focused, self-sustaining scholarship
 - Comments should also be provided about whether the faculty member meets the criteria that were in place at the time of their appointment
 - At the conclusion of the letter, there should be a clear summary statement of the chair's recommendation to support or deny promotion and/or tenure
14. The College of Medicine Faculty Appointment and Promotion Committee (COMFAPC) 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 potential promotion and tenure of the candidate.
 - B. The letter will inform the Dean of the committee's ballot bearing on the decision regarding the promotion and/or tenure the candidate, and will inform the Dean of specific and detailed assessments of the candidate's credentials, meeting the criteria and/or standards for promotion and/or tenure.
 - C. If the vote is not unanimous, the letter should, when possible, inform the Dean of any issues or concerns raised in the minority opinion regarding the candidate's credentials meeting the criteria and/or standards for promotion and/or tenure.
 - D. In cases where the COMFAPC recommendation differs from that of the Department Chair or the Departmental Promotion and Tenure Committee, this should also, when possible, be explained in the document providing COMFAPC recommendations to the Dean.
 - E. For faculty in tenure-eligible positions 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.
15. In addition to the documentation set forth above in items 1 through 11, the candidates promotion file will also include documented evidence of proficiency as described in II.A.1,2,3. Specific forms of documentation are required to demonstrate proficiency and excellence in the areas of service (clinical, community, or administrative), research and scholarship, teaching and education.
- B. Extramural Evaluations:
1. Three extramural evaluations are to be solicited by the Department Chair and are required by the Dean and the COMFAPC to assess the candidate's academic credentials meeting the criteria and/or standards for promotion and/or tenure. These letters must:
 - be solicited from faculty holding academic rank at or above the rank under consideration for the candidate's promotion at non-Upstate institutions;

- have no more than two solicited from faculty who have had collaborative engagement with the candidate up to three years prior to consideration for promotion and/or tenure; and
 - not be solicited from faculty who have had collaborative engagement with the candidate within three years of the candidate's consideration for promotion and/or tenure.
2. The method for selection of extramural evaluators and their relationship to and degree of separation from 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. Those who have served the candidate as a mentor in any capacity (graduate, post-graduate, residency or fellowship supervisor) are considered ineligible to serve as any of the three required extramural evaluators. Additional evaluations of the candidate may be requested by the Department Chair from those who have self-identified as mentors of the candidate.
 3. Some specialties have been deemed exempt from the need for outside peer review of clinical activities when seeking promotion to the rank of associate professor. A non-inclusive list of such specialties includes 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 other objective measures of adherence to quality standards must document excellence according to the standards discussed above. However, extramural evaluator letters are required for all faculty when the awarding of tenure is being considered or when the individual is seeking promotion to the rank of full professor.

VII. Responsibilities of the Office of the Dean

- A. The Dean will review the academic portfolio of all candidates under consideration for appointment, promotion and tenure (continuing appointment). The review will be conducted with reference to the criteria and/or standards set forth in this Policy, including any existing departmental amendments. The review will consider the merits of the deliberations and decisions reached by the Department Chair, the Departmental Promotions and Tenure Committee and the COMFAPC.
- B. The Dean has the discretion to apply any 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 with the guidelines in place at the time of their initial appointment to the faculty at Upstate.
- C. The Dean will render a decision regarding the candidate promotion at rank and/or tenure to the President and will first forward signed correspondence to the Senior Associate Dean for Faculty Affairs for review. Upon approval by the Senior Associate Dean for Faculty Affairs the correspondence will be forwarded to the President for review and final consideration of the decision.

VIII. Responsibilities of the Office of Faculty Affairs and Faculty Development

- A. The Office of Faculty Affairs will manage the time-line for the tenure review process and decision of tenure eligible faculty. This will include notification of the Department Chair to initiate the candidate tenure review process and the deadlines for document submission.
- B. The Office of Faculty Affairs will receive all materials for submission to the COMFAPC and the Dean and will review 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. For pre-review with feedback, materials must be submitted at least one week prior to the posted deadline.
- C. The Office will facilitate submissions of documentation through the use of an online portal or other means.

FORMS/INSTRUCTIONS

- Departmental Promotions and Tenure (P&T) Committee Policy: Charge, Authority Operations
<https://upstate.ellucid.com/documents/view/10235/?security=317225e408eeb034bf8544057bb62e13228e4387>

- Faculty Appointment and Promotions Committee Policy: Charge, Authority Operations
<https://upstate.ellucid.com/documents/view/10236/?security=711b110065bf2ab837a403e268b0be8fff9ab2fb>

DEFINITIONS

Annual Academic Expectations (AAE): See Faculty Utilization, Evaluation, and Feedback Policy

<https://upstate.ellucid.com/documents/view/10237/?security=1756206583c18b7b8f2d2b3ce3ba03a33131c658>

RELATED INFORMATION

- Faculty Handbook
<http://www.upstate.edu/facultydev/faculty-handbook.php>
- Board of Trustees Policies (April 2017), Article XII: Evaluation and Promotion of Academic and Professional Employees
<http://www.suny.edu/about/leadership/board-of-trustees/>
- Contract between United University Professions and the State of New York
<http://uupinfo.org/>
- Medical College Assembly Bylaws
<https://www.upstate.edu/facgov/medical/index.php>
- Functions and Structure of a Medical School
<http://lcme.org/publications/>
- Faculty Rapid Review Policy
<https://upstate.ellucid.com/documents/view/10239/?security=48410de90f130bae61baceac81e09663c9014472>
- Upstate faculty promotion portal
<https://www.upstate.edu.libproxy2.upstate.edu/facpromotion/intra/index.php>

| POLICY HISTORY | |
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| Review Date: | Change Description: |
| 7/09/2020-10/05/2020 | <p>Edited “Policy Statement,” deleting specific salary sources and intending flexibility to the use of the criteria for affiliated faculty; added clarification of use of standards and criteria for tenure; Clarified Joint Appointments (I.C) and documentation (VI.A.9); Moved description for Excellence in Administrative and/or Community Service within (II) Standards and Criteria for Senior Level Appointments and Promotion for associate and professor ranks to make a separate bullet (most text is unchanged, requirement for obtaining grant funding removed, leadership in faculty governance removed), with Excellence in Clinical Service becoming a separate category; Clarified (III) Standards and criteria for tenure section; Documentation material from the Departmental P&T Policy was removed from that policy and integrated into this policy, (VI) documentation to reflect current practice with online portal and new forms; Clarified required peer and supervisory reviews for associate professor with Clinical Excellence; Clarified Excellence in Teaching and Education criteria; Clarified proficiency in community service to be broader than just the Syracuse community (2.1.b); Added quality improvement as a form of research to research proficiency and excellence criteria; Updated forms/instructions weblinks.</p> <p>Distributed for review via email to the Faculty Affairs Committee of the MCAEC (9/2020); distributed for review, with feedback from COMFAPC, Department P&T Committee chairs and assistants, and Department chairs (9/2020 – 10/6/2020).</p> |
| Review History: | Change Description: |
| 2/4/19 | Codified into new policy format |
| 7/30/18-2/1/19 | This is new policy, reformatted from the standards document and appendix a, created 2003, last reviewed 12/14. Reviewed and approved by the Task Force Committee for policy review on Faculty Appointment, Promotions and Tenure and Faculty Affairs Committee. |

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| 2/11/19 | Reviewed by the MCAEC, reviewed by the Faculty Affairs committee of MCAEC and MCAEC |
| 2/19-26/19 | Approved by Dean's Executive Committee via electronic vote; Approved by DEC at meeting 1/12/21 |
| 3/19/19 | Reviewed and approved by Dean Licinio (2019) and reviewed and approved by Dean Chin (2021) |