

**POLICY FOR PROMOTION, APPOINTMENT AND TENURE
AND FOR PERIODIC CAREER REVIEW IN THE
UNIVERSITY OF LOUISVILLE SCHOOL OF MEDICINE**

INTRODUCTION

The purpose of this document is to present the criteria and procedures employed within the School of Medicine (the unit) for the evaluation of promotion, appointment and tenure requests and for periodic career reviews. The document specifies minimum acceptable levels of teaching, research and service. Departmental criteria are not required but, where they exist, procedures for evaluation of same must be in accord with the policy cited herein and must be explicit in regard to requirements upon which a recommendation for appointment, promotion, and/or tenure is made for each faculty rank, or a positive periodic career review. It is understood that departments may stipulate criteria more rigorous than those addressed in this document, provided they are consistent with the University of Louisville's Minimum Guidelines document, The Redbook, and the Bylaws and Rules of the School of Medicine. The contents of the unit document apply to all faculty: executive faculty and general faculty as defined in the School of Medicine Bylaws. (A member of the executive faculty of the School of Medicine holds a full-time, academic appointment in the University of Louisville with a primary appointment in the School of Medicine; or may be a part-time or gratis general faculty who has been elected to the executive faculty).

In order to evaluate the contributions of candidates for promotion, appointment, tenure, and periodic career review in achieving the missions of the School of Medicine and its departments, the following documents must be developed.

- A. The faculty of the School of Medicine shall develop, and maintain current, a mission statement that must be approved by the dean. The dean shall be held accountable for assuring that the School achieves its mission.
- B. Each department shall develop, and maintain current, a mission statement and specific goals and objectives to assist in the systematic accomplishment of the mission of the School of Medicine. The department chair shall be held accountable for assuring that the department achieves its mission, and a major tool for doing so shall be the combined faculty work plans negotiated with each departmental faculty member.

I. FACULTY APPOINTMENTS AND TENURE

A. ALL FULL-TIME FACULTY APPOINTMENTS SHALL BE ONE OF THREE KINDS:

1. Non-tenurable Appointments

a. Temporary Appointments

Temporary appointments to the various academic ranks, which include lecturers and visiting faculty, are those made for specifically limited time periods less than one year for special purposes. In no case shall temporary appointments or renewals result in the acquisition of tenure.

b. Term Faculty Appointments

- 1. All non-tenurable full-time faculty that are not "temporary" will be called "term". Term faculty shall be full-time faculty appointments without tenure for a stipulated contract period not to exceed three years. Such appointments are not probationary appointments as described in Section 4.1. of The Redbook, and no such appointments, continuation or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent terms.

2. A majority of faculty in the School of Medicine shall be probationary or tenured (The Redbook, Chapter 3, Section 3.3.1). Term faculty may be funded through general funds, restricted funds, or clinical revenues.
3. Term faculty shall meet the standards for probationary appointment to the designated rank with consideration for the areas assigned in the annual work plan and shall be subject to annual and career reviews for faculty of the Unit. Term faculty may apply for promotion in rank according to the criteria in this document.
4. Term faculty appointments may be renewed for the convenience of the University if the dean determines that the services of the incumbent are needed for the renewal term.
5. Faculty on term appointments shall be eligible to transfer to probationary appointments if they were not previously on a probationary appointment and if the advertisement used to hire the individual stated this possibility. Time in rank will not be counted toward the probationary period unless negotiated at the time of track transfer. The provost's letter of appointment to probationary status shall state whether and to what extent the new appointment shall consider time served in non-tenurable status as prior service.
6. Rolling contracts recognize and reward the accomplishments of term faculty. Rolling contracts of a three-year duration will be available after five years of service at the University of Louisville. Rolling contracts are only available to those faculty members at the rank of associate professor or above. Rolling contracts are renewable every year for an additional three years. Appointment on such contracts are at the discretion of the chair but must conform to fiscal limitations and be approved by the dean and provost.

2. Probationary Appointments

- a. Definition - Probationary appointments shall be appointments of full-time faculty members without tenure other than those described in Section 4.1.2 of The Redbook, provided, however, that no probationary appointment to the University shall extend beyond the period when tenure would normally be granted (Section 4.2.2 of The Redbook).
- b. Transfers out of a probationary appointment into a non-tenurable appointment may be requested anytime but must be complete prior to the time that the tenure review would begin. This is normally at the end of the fifth year of service. Transfers back to probationary status are then prohibited.
- c. Instructors - Probationary appointments to the rank of instructor shall be for stipulated terms of one year each.
- d. Assistant and Associate Professors - Probationary appointments to the rank of assistant or associate professor shall require board certification in the disciplines where this is available and patient care is provided. For others, post-doctoral training will be required for these ranks. The appointments will be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter.

- e. Professors - Professors shall be awarded tenure if employed subsequent to the initial probationary appointment. The duration of initial appointment shall be specified in the letter of appointment.

3. Tenure Appointments

- a. Definition - Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or dismissal as provided in Section 4.5.3 of The Redbook. Tenure is granted in an academic unit (Section 3.1.1 of The Redbook) in accordance with the procedures established in Section 4.2.2.H. of The Redbook.
- b. Administrators - Administrative personnel who have acquired tenure are subject to the regulations herein on tenure and the provisions governing termination only in their capacities as faculty members.
- c. Tenure recommendations - Recommendations concerning the award or denial of tenure shall originate in the faculty of the academic unit in which tenure is to be granted.

4. Academic Appointment, Full-time

- a. The requirements for appointment to a full-time faculty position in the School of Medicine usually shall include, as a minimum, an advanced, usually doctoral, degree (M.D., Ph.D., D.Sc., Ed.D. or equivalent). In disciplines where board certification is available and patient care is provided, appointments at the rank of assistant professor or above shall require board certification. For others, post-doctoral training will be required for these ranks. Additional requirements for appointment such as board certification, possession of a license to practice medicine in Kentucky, etc. shall be stipulated in the departmental documents where applicable.
- b. The appointee shall sign a contract, approved by the Board of Trustees, stipulating that the appointment is made subject to the regulations, policies, and provisions of employment at the University of Louisville including participation in the School of Medicine Professional Practice Plan.
- c. Joint appointments will require that career reviews (mid-tenure, tenure, promotional, periodic) be done in both departments. Criteria for appointment as an associate in a department shall be stipulated in departmental documents, where applicable. Associate appointments are weaker affiliations and never entail salary commitments.

B. ACADEMIC APPOINTMENT, PART-TIME

- 1. Part-time faculty shall be appointed by contract to teach specified courses or to engage in specified instruction, research or service less than full-time for a designated period. The requirements for appointment to a part-time faculty position in the School of Medicine shall be the same as those for full-time academic appointments. No such appointment, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent periods. It is recognized that the responsibilities of the faculty in this category may differ from those with full-time appointments.
- 2. For all faculty, proficiency in the areas of the annual assignment must be used as the basis for reappointment and/or contract renewal. Departmental documents may stipulate additional requirements for appointment and reappointment and include criteria by which achievements in scholarship or other areas consistent with the annual work plan shall be measured.

C. EMERITUS

Such honorary title may be conferred upon retirement if requested by the departmental faculty and dean and approved by the provost and Board of Trustees.

D. ACADEMIC APPOINTMENT, GRATIS

1. Gratis (voluntary) faculty appointment shall be one of three kinds: clinical, adjunct (basic science), and adjunct (faculty, basic science or clinical, at other institutions).
2. The requirements for appointment to a gratis faculty position in the School of Medicine usually shall include, as a minimum, an advanced, usually doctoral, degree (M.D., Ph.D., D.Sc., Ed.D. or equivalent). In disciplines where board certification is available and patient care is provided, appointments at the rank of assistant professor or above shall require board certification. For others, post-doctoral training will be required for these ranks. Additional requirements for appointment such as board certification, possession of a license to practice medicine in Kentucky, etc., shall be stipulated in the departmental documents where applicable.
3. School of Medicine gratis faculty appointment, reappointment and promotion policies are further defined in Appendix B.

II. FACULTY PERSONNEL REVIEWS

A. ANNUAL REVIEWS

1. All part-time, term, probationary, and tenured faculty must be reviewed in writing annually by their department chair or designee. The annual review shall be done in conjunction with the Salary Increase Based Upon Performance (SIBUP) evaluation. Annual reviews and SIBUP evaluations must evaluate faculty performance under the distribution of the effort indicated in the approved annual work plan (Section IV.A. of The Redbook's Minimum Guidelines for Faculty Personnel Reviews).
2. As part of the documentation for annual review a report of all professional work outside the University must be submitted.
3. Annual work assignments and reviews shall be part of all career review files. Reappointments of term faculty as well as all career reviews (annual, promotion, tenure and periodic) must be linked to the annual work assignments. Satisfactory annual reviews shall not in and of themselves constitute sufficient grounds for promotion, tenure, or satisfactory periodic career reviews.
4. The appeal process for annual reviews and SIBUP evaluations are outlined in a separate School of Medicine Policies for Annual Reviews and Salary Increase Based Upon Performance document and is outside of the grievance process of Appendix A of The Redbook.

B. PROMOTION AND TENURE OF TENURABLE FACULTY

1. Time Required
 - a. Each faculty member eligible for tenure must (with the exceptions listed in Article II.B.2,3) be evaluated by the School of Medicine Promotion, Appointment and Tenure (PAT) Committee before the end of twelve months after five years of service applied to tenure. Evaluation for tenure in the School of Medicine shall proceed unless the faculty member resigns from the University or is subject to termination.

- b. All probationary faculty who have had seven years of service counted as in a tenurable faculty position, if reemployed full-time without a transfer to a non-tenurable appointment, shall be granted tenure.

2. Leaves of Absence

One year spent on an officially approved leave of absence may be counted toward the seven years of full-time service necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.

3. Extension of Probationary Period

A faculty member who faces extenuating circumstances that does not require a leave of absence but results in a significant reduction in ability to perform normal duties may request an extension of the probationary period for no less than six months and no more than one year. Such extensions must be requested and approved at the time the circumstances exist and before the end of the fifth year of the probationary period and must have documentation satisfactory to the dean for recommendation to the provost for approval.

4. Prior Service

Previous full-time service with the rank of instructor or higher or comparable status in institutions of higher learning may be counted toward the acquisition of tenure. The provost's letter of appointment shall state whether and to what extent the appointment shall consider time served at the other institution applies as prior service.

5. Criteria shall include the following:

- a. Proficiency in teaching as defined in Appendix A.
- b. Proficiency in research as defined in Appendix A.
- c. Proficiency in service as defined in Appendix A. This can be further defined as community service, service to research and/or clinical service and primarily involves medical and/or basic science expertise.
- d. In reviewing the activities described in the foregoing paragraphs, the PAT Committee shall consider whether the conduct of the faculty member indicates an ability to collaborate effectively with faculty and other members of the university community.
- e. The adherence of a faculty member to professional standards shall be considered in retention, promotion, tenure, and periodic career review decisions. The PAT Committee shall consider rules of professional conduct for the faculty of the School of Medicine as well as rules and standards of School of Medicine accrediting bodies, of the teaching profession, and of the University (including The Redbook).
- f. Extramural review shall be required as provided for in Article II.K.10.

In addition, service to the profession, the Unit, the University, and the community that does not primarily involve medical and/or basic scientific expertise may also be considered.

C. TENURE AND PROMOTION OR APPOINTMENT TO ASSOCIATE PROFESSOR OF TENURABLE FACULTY

1. The requirements for promotion to associate professor are equivalent to those for granting tenure. It is recommended that requests be submitted jointly; i.e., a request for promotion should be coupled to a request for tenure. The departmental executive faculty and the chair, as determined by procedures outlined in Article II.K.10, have the major responsibility for initiating consideration of promotion and tenure.
2. The candidate's record shall provide evidence of proficiency in teaching, research, and service. However, institutional service and administrative activities are considered more as a supplement to academic activities than as a substitute. In the evaluation no rigid formulae are applied; however, the individual's accomplishments must provide promise of continuing proficiency in those endeavors which best support the research and academic mission of the School of Medicine and the University.
3. In addition to proficiency, excellence must be demonstrated in an area of assignment that meets or exceeds a 20% effort on, and is documented in, the annual work plan. Excellence in each area is defined in Appendix A.
4. In addition, scholarship, defined as the creation of new knowledge and the dissemination and acceptance of it by peers, in one area must be demonstrated at the time of review. Scholarship in the areas of research, teaching and service is defined in Appendix A.
5. Normally, requests for promotion to associate professor and tenure will not be considered until a full probationary period of five years in faculty status has been served. Requests for early action are appropriate if the faculty member's accomplishments meet the stated criteria. Accomplishments made prior to employment at the University or while serving in a non-tenurable appointment at the University can be considered in these deliberations. A faculty member may request only one evaluation for early tenure. Once originated this evaluation shall proceed as indicated in Section 4.2.2.H of The Redbook unless the faculty member requests its withdrawal.
6. Candidates for new appointments at the rank of associate professor shall satisfy the same criteria as described above for promotion to that rank.
7. Extramural review shall be required as provided for in Article II.K.10.

D. PROMOTION OR APPOINTMENT TO PROFESSOR OF TENURED OR TENURABLE FACULTY

1. Promotion to professor should be awarded with care and only to those who show promise of continuing proficiency, as defined in Appendix A, in teaching, research and service with consideration for their work assignment. However, despite this anticipatory element, a recommendation for granting the rank of professor shall be made in recognition of accomplishments already attained. To assist the PAT Committee in their evaluation, all reprints of papers published during the review period will be forwarded and the candidate is to designate the four most significant publications in his/her bibliography, at least one of which shall be in the past five years.
2. Superior achievement and promise of continuing superiority must be evidenced by excellence in an area of assignment that meets or exceeds a 20% effort on, and is documented in, the annual work plan as defined in Appendix A. The departmental document, where applicable, must stipulate criteria by which the candidate's achievement and prominence shall be determined as specified in the annual work assignment.

3. In addition, scholarship in one area must be demonstrated at the time of review. Scholarship in the areas of research, teaching and service is defined in Appendix A.
4. Normally, a minimum of five years in rank shall be served before a recommendation for promotion is considered. It should be understood that a department is not obligated to make a recommendation after the fifth year; a longer interval commonly is necessary to establish acceptable credentials. Seniority shall be considered but shall not, by itself, entitle one to promotion. Request for early promotion are appropriate if the faculty member's accomplishments as an associate professor meet the stated criteria. Accomplishments as an associate professor made prior to employment at the University can be considered in these deliberations.
5. Extramural review shall be required as provided for in Article II.K.10.
6. Candidates for new appointments at the rank of professor shall satisfy the same criteria described above for promotion to that rank.

E. IMMEDIATE TENURE UPON APPOINTMENT

1. It is recommended that tenure not be granted as a condition of appointment; however, it is understood that for certain persons of exceptional merit who already have tenure in other universities, it is impractical to expect them to move to the University of Louisville without assurance of tenure. The Redbook does give the University the right to grant tenure at any stage "when an individual situation warrants such action", and states that professors shall receive tenure following their initial probationary period of appointment. The duration of initial appointment shall be specified in the letter of appointment.
2. For associate professors it is suggested that a minimum of one year elapse after the initial academic year of appointment or fraction thereof, before a tenure consideration is initiated.
3. 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.

F. PROMOTION OF NON-TENURABLE FACULTY

Criteria shall include Items 1-7: (only the areas in the annual work assignment may be assessed)

1. Proficiency in teaching as defined in Appendix A. Proficiency in teaching is required of all faculty if teaching is an assigned area.
2. Proficiency in research as defined in Appendix A, if research is an assigned area.
3. Proficiency in service as defined in Appendix A, if service is an assigned area. This can be further defined as community service, service to research and/or clinical service and does primarily involve medical and/or basic science expertise.
4. Scholarly activity, as defined in Appendix A.IV., on average annually
5. In reviewing the activities described in the foregoing paragraphs, the PAT Committee shall consider whether the conduct of the faculty member indicates an ability to collaborate effectively with faculty and other members of the university community.
6. The adherence of a faculty member to professional standards shall be considered in retention, promotion and periodic career review decisions. The PAT Committee shall consider rules of professional conduct for the faculty of the School of Medicine as well as rules and standards of

School of Medicine accrediting bodies, of the teaching profession, of the University (including The Redbook), and the School of Medicine.

7. Extramural review shall be required as provided for in Article II.K.10.

In addition, service to the profession, the Unit, the University, and the community which does not primarily involve medical and/or basic scientific expertise may be considered.

G. PROMOTION OR APPOINTMENT TO ASSOCIATE PROFESSOR OF NON-TENURABLE FACULTY

1. The departmental executive faculty and the chair, as determined by procedures outlined in Article II.K have the major responsibility for initiating consideration of promotion.
2. The candidate's record shall provide evidence of proficiency in research, teaching and service for the areas assigned. However, institutional service and administrative activities are considered more as a supplement to academic activities than as a substitute. In the evaluation no rigid formulae are applied; however, the individual's accomplishments must provide promise of continuing proficiency in those endeavors which best support the research and academic mission of the School of Medicine and the University.
3. In addition to proficiency, excellence must be demonstrated in an area of assignment that meets or exceeds a 20% effort on, and is documented in, the annual work plan. Excellence in each area is defined in Appendix A.
4. Normally, requests for promotion to associate professor will not be considered until a full period of five years in faculty status has been served. Requests for early action are appropriate if the faculty member's accomplishments meet the stated criteria. Accomplishments made prior to employment at the University can be considered in these deliberations.
5. Candidates for new appointments at the rank of associate professor shall satisfy the same criteria as described above for promotion to that rank.
6. Extramural review shall be required as provided for in Article II.K.10.

H. PROMOTION OR APPOINTMENT TO PROFESSOR OF NON-TENURABLE FACULTY

1. Promotion to professor should be awarded with care and only to those who show promise of continuing proficiency in the activities included in the annual work assignment and defined in Appendix A. However, despite this anticipatory element, a recommendation for granting the rank of professor shall be made in recognition of accomplishments already attained.
2. Superior achievement and promise of continuing superiority must be evidenced by excellence in an area of assignment that meets or exceeds a 20% effort on, and is documented in, the annual work plan as defined in Appendix A. The departmental document, where applicable, must stipulate criteria by which the candidate's achievement and prominence shall be determined, taking into account the area(s) chosen for variable career emphasis included in the annual work plan.
3. Normally, a minimum of five years in rank shall be served before a recommendation for promotion is considered. It should be understood that a department is not obligated to make a recommendation after the fifth year; a longer interval commonly is necessary to establish acceptable credentials. Seniority shall be considered but shall not, by itself, entitle one to promotion. Request for early promotion are appropriate if the faculty member's accomplishments as an associate professor meet the stated criteria. Accomplishments made as an associate professor prior to employment at the University can be considered in these deliberations.

4. Extramural review shall be required as provided for in Article II.K.10.
5. Candidates for new appointments at the rank of professor shall satisfy the same criteria described above for promotion to that rank with consideration for the areas of their work assignment.

I. APPOINTMENT AND PROMOTION OF NON-FULL-TIME FACULTY

1. In a promotion consideration, for example, to the rank of adjunct associate professor or associate clinical (gratis) professor, there should be tangible evidence that a candidate's contributions are significant to the unit's academic mission. Length of time in rank by itself shall not make one eligible for promotion.
2. Part-time faculty shall be held to the criteria specified for full-time non-tenurable faculty with consideration for their percentage effort and work assignment.
3. Gratis faculty shall be promoted according to criteria set forth in Appendix B.

J. PERIODIC CAREER REVIEW

All tenured faculty in the School of Medicine (with the exception of department chairs and the dean, who have special administrative reviews every five years) shall undergo periodic career review after every fifth year of service to evaluate their contribution to the missions of the University, School of Medicine, and department. Candidates shall be evaluated as either "satisfactory: meeting School of Medicine criteria", or "unsatisfactory: not meeting School of Medicine criteria".

1. For faculty with probationary appointments, the midpoint and tenure review shall be the required career review.
2. Tenured faculty members shall undergo career review after every fifth year of service. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year. A promotion review shall replace career review for the period in which the promotion occurs. Periodic career reviews shall be conducted in substantially the same fashion as promotion reviews. Criteria shall be proficiency in all areas assigned on the annual work plan for the period under review and scholarly activity as defined in Appendix A.IV. The review process shall not extend beyond the Office of the Dean of the School of Medicine, but the results of such reviews shall be reported annually to the Office of the Vice President for Health Affairs for transmission to the provost.
 - a. Tenured faculty members evaluated as satisfactory shall begin the next review cycle in the following academic year.
 - b. Tenured faculty members evaluated as unsatisfactory shall be re-reviewed two years after the negative evaluation by the dean. Within the first thirty days they shall prepare a development plan in collaboration with, and approved by, their departmental chair or division head. The faculty member and department chair or division head shall jointly execute an agreement to complete the plan and shall forward the plan to the Dean of the School of Medicine for approval. The plan shall include specific requirements to be met within a year. At the end of the year, the faculty member shall then have one year to demonstrate satisfactory performance and will then undergo a follow-up career review. If the faculty member is again evaluated unsatisfactory, the career record of performance shall be forwarded to the Dean of the School of Medicine for appropriate disciplinary action that may include proceedings for termination (Section 4.2.4.A.2 of The Redbook). However, if the faculty member is evaluated satisfactory at the time of the two year follow-up career review, the next five-year review cycle begins with the following year.

- c. Where evidence of outstanding performance over the review period warrants, the reviewing committees shall also assess the appropriateness of the Salary Increase Based Upon Performance evaluations over the review period and may recommend a supplementary salary increase as a reward.
3. For faculty with non-tenurable and part-time appointments (Article I.A.1 and I.B,C,D), consideration for reappointment shall serve as their periodic career reviews. The criteria shall be pertinent to their defined areas of appointment and performance. Satisfactory reviews require documented proficiency in all areas of the annual work assignment. Those who are evaluated as "satisfactory: meeting School of Medicine criteria" may be offered additional contracts for reappointment. Those who are evaluated as "unsatisfactory: not meeting School of Medicine criteria" cannot be offered another contract.
4. All University Redbook and School of Medicine rights of due process and appeal for non-tenurable, probationary, and tenured faculty shall pertain in these periodic career reviews.

K. PROCEDURES FOR TENURE, PROMOTION, AND PERIODIC CAREER REVIEW

1. Access to Documentation

In all considerations of appointment, promotion, tenure and periodic career reviews, the personnel documents pertaining to the faculty member under consideration including a current curriculum vitae, letters of recommendation, teaching evaluations, reprints of articles, and documentation of other forms of scholarship when appropriate, must be available for review by the voting faculty at least 48 hours preceding the vote on the personnel action.

2. Departmental Guidelines

- a. Separate departmental documents are no longer required and their function can be fulfilled by adopting the school's criteria elaborated in this document (Policy for Promotion, Appointment and Tenure and for Periodic Career Review in the University of Louisville School of Medicine) and its accompanying Appendix A. Each department may prepare written guidelines that specify additional requirements and procedures for promotion, appointment, tenure and periodic career review. Departmental documents and procedures shall not disrupt due process nor set performance requirements lower than those established in this unit document.

1. The document must be explicit in specifying the responsibilities of the appointee and the criteria by which proficiency, excellence, and scholarship and other categories, if any, shall be measured. If factors such as professional licensing are to be included, this must be stated clearly, as well as how documentation shall be established.
2. The document must be explicit in specifying the procedures by which consideration of promotion, appointment, tenure and periodic career reviews are conducted.
3. The document must ensure that departmental executive faculty have a major role in departmental decisions on promotion, appointment, tenure and periodic career review.
4. The document must be approved by the unit Promotions, Appointment and Tenure Committee and the Dean of the School of Medicine.

- b. Variations from the procedures listed in Article II.K. of this document are acceptable only if the requested changes are not in conflict with the requirements of The Redbook and Minimum Guidelines and each of the following conditions are met:
 - 1. The variations are incorporated in the written departmental guidelines and adopted by a majority vote of departmental executive faculty.
 - 2. In the judgment of the Promotion, Appointment and Tenure Committee the modifications do not affect the assurance that the departmental executive faculty will have a major role in appointment, promotion, tenure, and periodic career review decisions at the departmental level.
 - 3. The variations are approved by the Promotions, Appointment and Tenure Committee and the Dean of the School of Medicine.
 - c. This document (Policy for Promotion, Appointment and Tenure and for Periodic Career Review in the University of Louisville School of Medicine) is a standard document which shall be applied to those departments that have not had guidelines approved as provided in Article II.K.2.a,b.
- 3. Communication with Probationary Faculty Members
 - a. Each executive faculty member, when appointed, shall receive:
 - 1. A written statement specifying responsibilities,
 - 2. A copy of this document (Policy for Promotion, Appointment and Tenure and for Periodic Career Review in the University of Louisville School of Medicine),
 - 3. A copy of the departmental guidelines for promotion, appointment, tenure, and periodic career review, if one exists.
 - b. In addition to the annual review, each probationary faculty member shall receive a periodic evaluation in writing which summarizes achievement in the areas of their work assignment and indicates whether or not progress toward promotion and/or tenure is satisfactory. At least two written evaluations of this type are required; one shall be prepared at midpoint and one when the candidate is proposed for promotion and/or tenure. The midpoint review shall be conducted at the same level or rigor and by the same process as in a tenure review, except that extramural evaluations shall not be required (The Redbook 4.2.2.G). The results of the departmental midpoint review shall be forwarded to the dean for approval. These evaluations are of particular importance and shall be made available to the Promotion, Appointment and Tenure Committee at the time when the faculty member is being reviewed. These evaluations are the responsibility of the departmental chair who may wish to appoint an internal promotions and tenure committee for this purpose.
 - c. Probationary faculty members shall be informed that only one request for evaluation for early tenure may be made.
- 4. Evaluation for Tenure
 - a. Each faculty member eligible for tenure must ordinarily be evaluated by the School of Medicine Promotion, Appointment and Tenure Committee before the end of twelve months after five years of service applied to tenure (see Articles II.B.2, 3. of this document for exceptions).

- b. Faculty members on probationary status shall be affected by any amendments to or change in the criteria for tenure subsequent to their appointment. In such evaluation, appropriate consideration must be given to the amount of time remaining in their probationary period when the change becomes effective.
- c. Evaluation shall originate in the department in which the faculty member has primary appointment. The recommendations of the faculty and of the chair shall be forwarded to the School of Medicine Promotion, Appointment and Tenure Committee for its recommendation to the dean, who shall make a recommendation to the provost.
- d. A file of all information and documents pertinent to the tenure evaluation shall be compiled with the cooperation of the faculty member. Recommendations and any other material added shall become part of the file. Annual work plans and reviews and all pre-tenure reviews shall be part of the evidence to be considered at the time of promotion and tenure reviews. The faculty member may examine any substantive material in the tenure file but shall not be informed of the identity of evaluators. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the provost. The evidence in this file shall be reviewed according to the procedures specified in The Redbook in the Minimum Guidelines and this personnel document.
- e. The recommendation of the Dean of the School of Medicine shall be the Unit recommendation forwarded to all higher levels of review. When a candidate is a member of the graduate faculty, the Dean of the Graduate School shall receive the case with the unit recommendation and will form a recommendation to be included in subsequent levels of review. The Vice President for Health Affairs shall review the unit recommendation (and the recommendation of the Dean of the Graduate School when appropriate) and form a recommendation to forward with the file for the provost's consideration.

5. Communication with Tenured Associate Professors

Each tenured associate professor shall receive a written annual evaluation and a periodic career evaluation as described for all faculty (Articles I.A, II.J, and III.A).

6. Consideration at the Departmental Level

- a. All recommendations for new appointments, promotions, tenure, or periodic career review shall originate in the department and require appropriate consideration by the proper committee of the executive faculty of the department:
 - 1. A committee of all tenured members of the department shall make recommendations on matters of tenure.
 - 2. A committee of all other professors of the department shall make recommendations on promotions to professor and periodic career review of same.
 - 3. A committee of all other professors and associate professors of the department shall make recommendations for promotion to associate professor and periodic career review of same.
 - 4. A committee of the entire executive faculty of the department shall make recommendations for new appointments of probationary and tenured faculty members.

- b. The department chair shall be responsible for making all essential arrangements for meetings of such committees. These arrangements shall include:
 - 1. Notifying the candidate of the nature of the materials to be assembled and furnished to the committee and of the date when the documentation is required. The notification shall include the statement that candidates for promotion or tenure
 - a. May add information or documents for reconsideration by previous levels of evaluation before the file is forwarded to the Office of the Provost, and
 - b. May examine any substantive material in the file at any time prior to receipt by the Office of the Provost, but shall not be informed of the identity of the evaluators.
 - 2. Compiling all annual work assignments and annual evaluations for the file.
 - 3. Requesting and receiving all extramural reviews for promotion and/or tenure and preparing a copy of each for use by the candidate after deletion of all identifying items.
 - 4. Notifying members of the appropriate committee of the date, time and place of the meeting, with provision of at least 48 hours for all members to study the documents in the candidate's file.
 - 5. Providing to the committee the criteria by which candidates are to be evaluated; these should be forwarded with the other materials to the next level of review.
 - 6. Assembling the committee at the proper time for confidential discussion of the candidate's qualifications, which shall include any evidence of professional misconduct as well as any supporting materials that the candidate cares to submit.
 - 7. Ensuring that the voting records of each meeting are maintained by the department and shall include:
 - a. The names of faculty eligible to vote.
 - b. The names of those voting.
 - c. The results of the vote.
 - c. The decision of the appropriate committee as specified above in Article 6.a., made by anonymous secret ballot, shall be the departmental recommendation. Similar consideration shall be sought from other departmental executive faculty with their opinion also obtained by anonymous secret ballot.
7. Consideration by the Chair
- The chair shall prepare a separate evaluation and recommendation which shall be included in the candidate's personnel file. This letter must include comments on extramural evaluations as set forth in Article II.K.10.

8. Compilation of the Personnel File

- a. All documentary materials employed in the evaluation of the candidate including a copy of the criteria used for evaluation, plus the recommendations of the department and the chair, shall be incorporated into the candidate's personnel file. The personnel file shall include the faculty work plans for the candidate covering the period under review.
- b. The contents of the personnel file are the basis for evaluation at all succeeding levels of review and must be considered confidential.

9. Consideration by the Promotion, Appointment and Tenure Committee

- a. All recommendations for appointment or promotion to associate professor or professor, tenure, or periodic career review transmitted to the dean are forwarded to the unit Promotion, Appointment and Tenure Committee for review and recommendation. It is the responsibility of this committee to examine each recommendation for consistency with departmental guidelines and current School of Medicine policies on promotion, appointment, tenure and periodic career review.
- b. In instances in which the recommendation of the department differs from that of the department chair, the Promotion, Appointment and Tenure Committee shall consult with both parties and the candidate prior to making its recommendation.
- c. When any disagreement concerning promotion, tenure, or periodic career review occurs between the recommendations of the departmental faculty and the department chair; the Promotion, Appointment and Tenure Committee and/or the departmental faculty and the department chair; and the Promotion, Appointment and Tenure Committee and the dean; the succeeding review authority (i.e., the department chair; Promotion, Appointment and Tenure Committee; and dean; respectively) must send a written statement of the reasons for this differing recommendation to the faculty member by certified mail and to the prior reviewing authority (i.e., departmental faculty; departmental faculty and/or the department chair; and Promotion, Appointment, and Tenure Committee; respectively), each of whom shall have opportunity and time to comment in writing prior to forwarding any recommendation to the succeeding level of review.
- d. The committee's recommendation is transmitted to the dean who is responsible for preparing the unit recommendation. The Redbook Section 4.2.2.H.7. requires notification of faculty by certified mail of a negative recommendation on promotion or tenure by the appropriate vice president, dean or department chair, to allow the candidate to request a hearing before a grievance committee. In tenure cases, if the dean or chair makes a negative recommendation, the faculty member under review has ten days within which to file with the appropriate grievance committee.

10. Extramural Evaluations

- a. Four extramural evaluations are required for each promotion and/or tenure review. Because evaluations during periodic career review are restricted to the School of Medicine, and personnel files do not proceed through University-wide offices, extramural letters of reference will not be required in the personnel file; intramural letters may take their place.
- b. The relationship of evaluators to the University and the candidate must be clearly stated in the chair's evaluation along with certification of the professional expertise and objectivity (non-mentor relationship) of the evaluators. Mentors (graduate or post-

graduate supervisors) are not acceptable evaluators; however, extra letters from mentors may be included in the file if clearly indicated as such.

- c. Selection of reviewers -- Each candidate will be given the opportunity to suggest names of extramural and intramural evaluators. The candidate will suggest to the chair of the department a list of six M.D., Ph.D., Ed.D., D.D.S. or J.D. (or equivalent terminal degree) evaluators. For tenure reviews or promotions of tenured faculty, the evaluators must hold faculty appointments at other universities at or above the rank for which the candidate is being considered, or be in an equivalent non-academic position. Reviews are required for the evaluation of research, creative activity, teaching, clinical service and/or community service as appropriate to the work plan. The evaluators must be well established in the candidate's field of research, teaching or clinical service and qualified to assess the quality of his/her contributions to the field. The department chair will review the appropriateness of the evaluators. The department chair may utilize these evaluators or strike names for cause (must be provided in writing and included in the promotion file) and enlist evaluators of his/her own choosing. The candidate will have the right to strike names from the chair's list for cause (must be provided in writing). To ensure impartiality, disputes arising from this process will be decided by the dean.
- d. The chair will solicit letters of evaluation and will collect them. Requests for evaluations shall specify the average annual work plan for the time period under review and specify that the areas in the work plan (research, creative activity, teaching, clinical service and/or community service) are the area(s) to be reviewed.
- e. Comments regarding the quality of the work under review shall be solicited (Section IV.D.5.a of The Redbook's Minimum Guidelines for Faculty Personnel Reviews). Evaluators will be asked to comment on whether proficiency has been demonstrated in all areas of the work assignment and whether excellence has been demonstrated in the area of greatest assignment. In the case of tenure reviews and promotion to professor of tenured faculty, they will be asked to comment on the quality of the candidate's scholarship.
- f. Materials provided to the reviewers --The CV, teaching evaluations, clinical evaluations and reprints if applicable, will be provided to evaluators. Appendix A (definitions of proficiency, excellence and scholarship) from this document shall be appended to letters requesting evaluation.
- g. Recommendations regarding the advisability of awarding promotion and/or tenure shall not be solicited since evaluators are usually not familiar with the total performance of the candidate. If such recommendations are submitted they shall be disregarded.
- h. The Promotion, Appointment and Tenure Committee shall require a written statement from the appropriate departmental committee indicating that it has analyzed the evaluations and has determined their validity. The candidate shall be provided an opportunity to respond in writing to the evaluation(s), and this response must be included in the review materials prior to consideration of the evaluation by any reviewing body, including the departmental committee.

11. Termination of a Review for Promotion or Early Award of Tenure

Once formally initiated the process of review for promotion or early award of tenure shall proceed through the levels described unless the candidate requests in writing that the proceedings be halted.

12. Special Procedural Considerations for Periodic Career Review

- a. Committee votes and administrative recommendations regarding periodic career review shall be cast in terms of either "satisfactory" or "unsatisfactory."
- b. Because evaluations during periodic career review are restricted to the School of Medicine, and personnel files do not proceed through University-wide offices, extramural letters of reference will not be required in the personnel file, intramural letters may take their place.
- c. Candidates undergoing periodic career review may examine any substantive material in the personnel file at any time but shall not be informed of the identity of evaluators other than the department chair.

III. CONDITIONS OF FACULTY EMPLOYMENT

- A. Each faculty member shall negotiate annually with the department chair a faculty work plan to be signed by both to indicate their agreement. The annual work plan must specify percentage effort to be spent in teaching, research and service. Service may be further specified as community service (defined as service to the Department, School, University, Commonwealth, Region or Nation that primarily involves medical and/or basic science expertise) and as clinical service. The annual work plan shall specify the requirements for a faculty member's presence at the University or University-affiliated facilities (Section 4.3.1.A of The Redbook). The faculty work plan shall describe specific goals and objectives to be achieved by the faculty member during the period covered.
 1. For faculty in non-tenurable positions the faculty work plan shall be specific to the duties particular to their contract periods.
 2. For probationary faculty (defined in Section I.A.2. of this document) the faculty work plan shall reflect the need to demonstrate broad proficiency in the three areas of teaching, research and service in order to satisfy the requirements for the award of tenure. In addition, for probationary faculty a minimum assignment of 20% research and the corresponding time away from teaching/service obligations is required.
 3. For tenured faculty, the faculty work plan shall respect both the faculty member's need to shape his/her career and the missions of the department, School of Medicine, and University. In order to accomplish this, the annual work plan shall permit individual faculty members to concentrate, at various times in their careers, on one or more of the areas of teaching, research and service. However, the work plan shall also allow for achieving the mission, goals, and objectives of the document.
- B. For full-time faculty, The Practice Plan defines the conditions under which work outside of the University (Section 4.3.3 of The Redbook) may be carried out for all full-time School of Medicine faculty.
- C. Other conditions of faculty, i.e., leaves of absence, sabbaticals, compensation, the right to grieve employment decisions, etc., are covered in The Redbook.

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**APPENDIX A
DEFINITIONS AND EXAMPLES OF
PROFICIENCY, EXCELLENCE AND SCHOLARSHIP
IN THE AREAS OF RESEARCH, TEACHING AND SERVICE**

The contents of this appendix cannot be changed without a positive vote of the executive faculty.

I. DEFINITIONS OF PROFICIENCY IN THE AREAS OF RESEARCH, TEACHING AND SERVICE

Proficiency in the areas assigned on the annual work plan is required of all faculty for contract renewal or satisfactory career reviews

1. Proficiency in Research

Proficiency in research is best evidenced by regular dissemination of research findings (on average, at least annual dissemination is expected for those with a 20% work assignment in research) the majority of which should be through traditional peer-reviewed publications. At least one peer-reviewed publication (or other evidence of dissemination of knowledge as defined in Appendix A.III.1.a) during the period under review is required for those with a research work assignment of less than 20%. Reviews by collaborators, peers and external reviewers must also be obtained and should indicate satisfactory performance compared to others at this stage of the career.

2. Proficiency in Teaching

Teaching is defined as any activity that fosters learning and critical thinking skills, including direct teaching and the creation of instructional materials to be used in one's own teaching. Examples of direct teaching include lectures, workshops, small group facilitation, role modeling in any setting (such as ward attending), precepting, demonstration of procedural skills, facilitation of online courses and formative feedback.

Proficiency in teaching is best demonstrated by a documented teaching assignment and satisfactory supervisory, peer, and learner (e.g., students, residents) reviews of the documented teaching activities. Reviews by peers and the recipients of the teaching efforts (i.e., students or residents) must also be obtained and should demonstrate satisfactory performance as well.

The promotion file must include the following:

- a. School of Medicine Summative Peer Evaluation demonstrating satisfactory teaching performance.
- b. Description of the frequency and duration of the teaching activity and the faculty member's role.
- c. Peer reviews that demonstrate satisfactory teaching performance.
- d. Reviews by recipients of the teaching efforts (e.g., students or residents) that demonstrate satisfactory teaching performance. This evidence should include the number of evaluations collected and should summarize the results, including recipient comments when available.

Additional evidence of proficiency in other areas of educator activity may be included, for example engaging in structured mentoring or advising activities, developing new instructional or curricular materials, evidence of learning (e.g., analysis of learner portfolios or critical incidents or results of pre- and post-teaching assessments of learner performance) and participation in

interdisciplinary teaching efforts. Descriptions of the quantity and quality of these educator activities should demonstrate proficiency.

3. Proficiency in Service

- a. Proficiency in community service is best demonstrated by documented service and satisfactory peer and supervisory reviews of the service. Reviews by the recipients of the service or colleagues with knowledge of the service must also be obtained to document proficiency. Community service is defined as service to the Department, University, Region, Commonwealth or Nation. In order for the activities to be considered, they must involve medical and/or basic science expertise. Evidence of significantly increased clinical-service-related collaborative partnerships with the community may be presented as a supplement to the activities in service in promotion, tenure, and periodic career review consideration.
- b. Proficiency in clinical service is best demonstrated by a documented clinical assignment and satisfactory peer and supervisory reviews of the clinical service. Reviews by the recipients of the service (referring physicians, collective reviews such as patient satisfaction inventories) must also be obtained to document proficiency.
- c. Proficiency in service to research is best demonstrated by a documented service to research assignment and satisfactory peer and supervisory reviews of the service. Reviews by the recipients of the service to research (e.g., colleagues, principal and co-investigators of clinical or non-clinical research) must also be obtained to document proficiency.

4. Administration

- a. Administrative activities should be considered in the area to which they apply. For example, administrative responsibility for an educational activity (e.g., residency director; course director; Associate Deans for CME, GME, Curriculum) should be considered part of the teaching effort and evaluation. Administrative responsibility for a clinical activity (e.g., clinic director, clinical program director, chief of service) 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) should be considered part of the research effort and evaluation.
- b. Significant administrative assignments that do not fall into one of these categories, but serve a broader function (e.g., division chief, department chair, associate dean for advocacy, faculty) may be considered under the category of "service". Excellence and scholarship of this type of administrative activity may be presented as a supplement to the activities in research, teaching and/or clinical service in promotion and tenure considerations.

II. DEFINITIONS OF EXCELLENCE IN THE AREAS OF RESEARCH, TEACHING AND SERVICE

Excellence in an area of assignment that meets or exceeds 20% and is defined in the annual work plan is required of all faculty for promotion in rank.

1. Excellence in Research

- a. Promotion

Excellence in research is best demonstrated by having a major responsibility for an independent research program (e.g., principal investigator on a grant) or playing a documented leadership role in a collaborative research effort (e.g., principal investigator on a multi-principal investigator grant). To demonstrate this, regular publication (on average at least annually) in peer-reviewed media for which the faculty member is a major author (defined as first, senior [i.e., the person who directed the research], or corresponding author is required.) The successful acquisition of patents is considered evidence of peer acceptance, although dissemination in peer-reviewed media is preferred and must constitute the majority of the documentation of peer acceptance. An independent research program requires current extramural funding; federal funding support as principal investigator including principal investigator on a multi-principal investigator grant is preferred. Alternatively, nationally peer-reviewed funding as principal investigator will be acceptable if evidence for recent submission and resubmission to federal sources is provided or it can be documented that federal funding is generally unavailable for a specific research area. Entrepreneurial research funding is best evidenced by a faculty member having a leadership role in acquiring federal peer-reviewed grants or contracts for technology development linked to UofL and of demonstrable value to the University. Reviews of the research via extramural letters must be obtained and should support the rating of excellence.

b. Promotion to Professor

In addition to the criteria specified in this Appendix Section II.1.a., for promotion to professor based on excellence in research, annual publication as major author will suffice only if the journal is objectively documented by the department to be a high quality, high visibility journal in the field. In addition, for promotion to professor based on excellence in research, sustained, renewed, federal funding as principal investigator will be required. If it can be documented that federal funding is generally unavailable for a specific research area, the preferential requirement may be fulfilled through substantial national peer-reviewed funding.

2. Excellence in Teaching

a. Promotion

Excellence in teaching is best demonstrated by a documented substantial teaching assignment with a major responsibility for (i.e., leadership role in) a teaching program.

The promotion file must include the following:

1. School of Medicine Summative Peer Evaluation demonstrating excellent teaching performance.
2. Description of the frequency and duration of the teaching activity and the faculty member's role.
3. Peer reviews that demonstrate excellent teaching performance.
4. Reviews by recipients of the teaching efforts (e.g., students or residents) that demonstrate excellent teaching performance. This evidence should include the number of evaluations collected and should summarize the results, including recipient comments when available.

5. Description of the faculty member's major responsibility for a teaching program, including concise descriptions of the frequency and duration of the responsibility, outcomes, and evaluations of those outcomes.

Additional evidence of excellence in other areas of educator activity may be included, for example, receiving an award for teaching, engaging in structured mentoring or advising activities, developing new instructional or curricular materials, evidence of learning and critical thinking skills (e.g., analysis of learner portfolios or critical incidents or results of pre- and post-teaching assessments of learner performance) and participation in interdisciplinary teaching efforts. Descriptions of the quantity and quality of these educator activities should demonstrate excellence.

b. Promotion to Professor

In addition to the criteria specified in this Appendix Section II.2.a, for promotion to professor based on excellence in teaching, extra-university leadership in teaching, curriculum development, advising/mentoring, educational leadership/administration, or learner assessment must be demonstrated. Examples of how this can be demonstrated are via the scholarship of teaching as described in this Appendix Section III.3 or participation in extramural educational initiatives (examples: election or appointment to regional or national committees involved with teaching, curriculum development, advising/mentoring, educational leadership/administration, or learner assessment; invitations as a visiting professor for teaching activity; convening/chairing a national or regional conference focused on education; invitations to critically appraise or evaluate an educational activity at another institution; participation in subspecialty board review or test development committee; invitation to be an accreditation [ACGME or LCME] site visitor).

3. Excellence in Service

a. Promotion

Excellence in clinical service is best demonstrated by a documented clinical assignment and a major responsibility for (i.e., leadership role in) a clinical program. The clinician should have measurably and significantly improved the clinical program. Measures of improvement include obtaining funding support for the program through contracts, significantly increased revenues, or new patient referrals; evidence of significantly increased clinical-service-related collaborative partnerships with the community; evidence of improved health care outcomes, evidence of significantly increased cost effectiveness of the program (for example, improved clinic efficiencies); introduction of new technologies, methods or procedures that contribute to improved health care outcomes; or evidence of a significant contribution to improved public health. Peer and supervisory reviews of the clinical service must be obtained and should support the rating of excellence. Reviews by the recipients of the service (for example colleagues, referring physicians or collective reviews such as patient satisfaction inventories) must also be obtained and should support the rating of excellence.

b. Promotion to Professor

In addition to the criteria specified in this Appendix Section II.3.a, for promotion to professor based on excellence in clinical service, extra-university leadership in clinical service must be demonstrated. Examples of how this could be demonstrated are via scholarship as described in this Appendix Section III.4 or participation in extramural clinical initiatives (examples: election to national committees, invitations as a visiting professor for clinical activity, participation in subspecialty board review or test

development committee, invitation to be an accreditation [ACGME or LCME] site visitor).

c. Community Service

Excellence in community service is not ordinarily acceptable as the basis for promotion. However, serving on labor-intensive committees such as the Institutional Review Board for Human Subjects (IRB), Student Admissions Committee, or Promotion, Appointment and Tenure Committee could be used to augment the case for a successful promotional review that is otherwise marginal.

d. Service to Research Promotion

Excellence in service to research is best demonstrated by a documented service-to-research assignment and a major responsibility for (i.e., leadership role) in a clinical or non-clinical research program. The individual should have measurably and significantly improved the research program. Measures of improvement include a significant participation in obtaining funding for the program through contracts or grants, development of new research programs, or increased research productivity of the program including scientific presentations and nationally-recognized (e.g., included in PubMed) peer-reviewed publications. Peer and supervisory reviews of the candidate's service to research must be obtained and should support the rating of excellence. Reviews by the recipients of the service (e.g., colleagues, principal and co-investigators of clinical or non-clinical research) must be obtained and should support the rating of excellence.

e. Promotion to Professor

For promotion to professor based on service to research, extra-university recognition in service to research must be demonstrated. Examples of how this could be demonstrated are via scholarship as described in Appendix A, Section III.4.d. Also meeting this criteria are critical participation on multi-site (regional, national, international) funded projects and participation in national peer-review of research

III. DEFINITIONS OF SCHOLARSHIP IN THE AREAS OF RESEARCH, TEACHING AND SERVICE

Required of all probationary (pre-tenure) and tenured faculty for promotion in rank

1. Introduction

Scholarship is defined herein as the creation of new knowledge and the dissemination and acceptance of it by peers. Tenure is awarded to those who have an independent, focused, self-sustaining program of scholarship or a leadership role in a focused, self-sustaining program of collaborative scholarship. In any given area, the requirements for scholarship exceed those for proficiency in that the scholar plays a pivotal role in the creation of new knowledge and assumes primary responsibility for its dissemination.

a. Examples of ways to demonstrate peer acceptance of disseminated scholarship:

Journal articles, papers on pedagogic issues, review articles, case reports, clinical outcomes studies, educational outcomes studies, electronic dissemination (e.g., computer programs, CD-ROM, videos, web-based), textbooks, book chapters, technology transfer, development of new protocols that are widely accepted, development of teaching tools, curricula or curricular models, study guides, computer-aided tools, new evaluation methodologies, well subscribed faculty development programs, workbooks adopted by other institutions and development of patents.

- b. Funding also supports peer acceptance and is necessary for sustaining the program of scholarship. Sources include but are not limited to research grants, training grants, clinical contracts, investigational drug studies, funded teaching initiatives, or cooperative industry agreements.
- c. The majority of the documentation of peer acceptance should be through traditional peer-review publications.
- d. Scholarship need only be demonstrated in one area for tenure and/or promotion on tenure track.

2. Demonstration of Scholarship in the Area of Research

a. Promotion

In order to demonstrate the scholarship of research, innovations in research (discovery of new findings or application of existing findings in a new fashion) are expected, as is the dissemination and peer acceptance of them. Although other acceptable venues are listed in this Appendix Section III.1.a., the majority of the documentation of peer acceptance must be through traditional peer-review publications. Scholarship of research must also be demonstrated by an extramurally funded research program. The individual must also present research findings on average annually at national forums. At the time of tenure review, the individual must have an emerging regional/national recognition in a focused area of research expertise that should be evidenced in extramural letters.

b. Promotion to Professor

At the time of review for professor, in addition to the requirements of this Appendix Section III.2.a., the individual must have national/international recognition in a focused area of research expertise that is demonstrated by such evidence as leadership roles in national forums, consultations such as being an editor or reviewer, or invitations to speak. The national/international recognition should be evidenced in extramural letters.

3. Demonstration of Scholarship in the Area of Teaching

a. Promotion

In order to demonstrate scholarship of teaching, innovations in teaching (i.e., development of new methodologies or application of existing methodologies in a new way), curriculum, student advising/mentoring, leadership/administration, or student assessment are expected annually, as is the dissemination and peer acceptance of them. Although other acceptable venues are listed in this Appendix Section III.1.a., the majority of the documentation of peer acceptance must be through traditional peer-review publications not limited to the area of teaching. Scholarship of teaching must also be demonstrated by securing funds for teaching/educator activities through an intramural or extramural peer-reviewed process. The individual must present instructional innovations/findings on average annually at national forums. At the time of tenure review, the individual must have an emerging regional/national recognition in a focused area of teaching or educator activity that is supported by extramural letters.

b. Promotion to Professor

At the time of review for professor, in addition to the requirements of this Appendix Section III.3.a., the individual must have national/international recognition in a focused

area of teaching or educator activity, which is demonstrated by such evidence as leadership roles in national forums, consultations at other universities, serving as a reviewer or editor, or invitations to speak. The national/international recognition should be evidenced in extramural letters.

4. Demonstration of Scholarship in the Area of Service

a. Promotion

In order to demonstrate scholarship of clinical service, innovations in clinical service (development of new protocols, new clinical programs or the expansion of existing programs) are expected annually and the acceptance of them and the dissemination of them through peer-review mechanisms are required. Although other acceptable venues are listed in this Appendix Section III.1.a., the majority of the documentation of peer acceptance must be through traditional peer-review publications not limited to the area of clinical service. Scholarship of clinical service must also be demonstrated by extramurally funded clinical initiatives or research efforts. The individual must present clinical innovations/findings on average annually in a national forum. At the time of tenure review, the individual must have an emerging regional/national recognition in a focused area of clinical expertise that should be evidenced in extramural letters.

b. Promotion to Professor

At the time of review for professor, in addition to the requirements of this Appendix Section III.4.a., the individual must have national/international recognition in a focused area of clinical expertise that is demonstrated by such evidence as leadership roles in national forums, or invitations to speak nationally or internationally. The national/international recognition should be evidenced in extramural letters. With respect to participation in clinical trials, there should be evidence of a leadership role.

c. Scholarship of community service is not likely to serve as the basis for a successful tenure review or promotional review on tenure track.

d. Scholarship in service to research includes:

1. innovations in service to research (development of new protocols, new research programs, or the expansion of existing programs)
2. demonstration of peer acceptance through traditional peer-review publications documenting contributions to clinical initiatives or research efforts
3. presentations of research findings, on average, annually in a national forum
4. for tenure review: emerging regional/national recognition for expertise in a focused area of service to research that is evidenced in extramural letters
5. for promotion to professor: national/international recognition for expertise in a focused area of service to research that is evidenced in extramural letters

IV. DEFINITION OF SCHOLARLY ACTIVITY

Scholarly activity must be demonstrated regularly (i.e., on average annually) for a satisfactory periodic career review for tenured faculty and is also required for promotion of non-tenurable faculty to the rank of Associate Professor or Professor.

1. Introduction

Scholarly activity is defined herein as those activities in which faculty take a scholarly approach to education, clinical, and/or research activities. These occur when faculty systematically design, implement, access or redesign educational, clinical, or research activities, drawing from the scientific literature and "best practices" in the field. Documentation describes how the activity was informed by the literature and/or best practices.

Scholarly activities that occur over more than a single year (12 month period) may be counted more than once if there is significant on-going or new effort that takes place in each year (e.g., development of a curriculum in one year, analysis of outcomes/impact data in another). Repeating the same lecture or set of lectures without documentation of on-going evidence or evaluation-based revision would not be considered a multi-year scholarly activity.

Multiple faculty members with involvement in a single scholarly activity may receive credit for the activity provided the individual faculty member can provide documentation of substantial contribution to the activity.

2. Examples of scholarly activity include but are not limited to the following:

- a. Scholarship as defined in Appendix A.III.I
- b. Substantial contribution to a local or national clinical trial (patient recruitments, data collection, other documentable contributions that are important but do not result in authorship)
- c. Service as a board reviewer or writing board review questions
- d. Active service on a regional or national committee or a board related to clinical care, education, or research
- e. Intramural or extramural funding for a clinical or educational project
- f. Leadership role in a local, regional, or national conference or in a multidisciplinary intramural conference on education or clinical care
- g. Evidence-based development or revision of organizational policy
- h. Poster or oral presentation at a local, regional, or national meeting
- i. Incorporation of new teaching technology or an evidence-based educational module into a curriculum
- j. Leadership or substantial role in a quality improvement project that documents effectiveness or leads to improved processes, clinical care, or outcomes
- k. Leadership role in the development or revision of evidence-based clinical practice procedures, guidelines, or treatment algorithms (e.g., order sets)
- l. Evidence-based consultation to public officials at community, regional, state, or national venues

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APPENDIX B
POLICY ON THE APPOINTMENT, PROMOTION, RETENTION AND RECOGNITION
OF GRATIS FACULTY AT UNIVERSITY OF LOUISVILLE SCHOOL OF MEDICINE

I. GENERAL STATEMENT

Evaluation of a candidate's qualifications for appointment to the University of Louisville School of Medicine as gratis faculty will consider the candidate's commitment to the School's teaching or research missions, maintenance of professional competency and licensure, and maintenance of a positive personal profile. Reappointments and promotions are based on demonstrated and documented contributions to the School's mission.

All gratis faculty must adhere to the standards set forth in ethics documents and statements issued by the School and the University. These include, for animal experimentation, an obligation of all members using their affiliation to seek research funds or research opportunities to process their clearances and assurances through the University of Louisville Institutional Animal Care and Use Committee (IACUC). Gratis faculty not complying with this requirement will lose their affiliation immediately.

II. SPECIFIC CRITERIA

The individual who wishes to be appointed as a gratis faculty member in the University of Louisville School of Medicine must meet the following criteria (described in more detail in this Appendix Section VI.A.):

- A. A commitment to actively participate in the teaching mission of the School of Medicine with medical students, nursing students, residents, fellows, or other health profession students

-or-

A commitment to actively participate in the research mission of the School of Medicine through collaboration with at least one full-time faculty member in research or serving on the Institutional Review Board (IRB).

- B. Maintaining a clinical license in good standing in disciplines where appropriate.
- C. Maintaining a personal profile that positively reflects the University of Louisville School of Medicine.

Reappointment and promotion depends upon demonstrating that these criteria have been fulfilled through the candidate's activity for the School.

III. APPOINTMENT

- A. Gratis faculty appointments may be at one of four ranks:

For Clinical Department Faculty:

Clinical Instructor
Assistant Clinical Professor
Associate Clinical Professor
Clinical Professor

For Basic Science Department Faculty:

Adjunct Instructor
Adjunct Assistant Professor
Adjunct Associate Professor
Adjunct Professor

- B. Gratis faculty appointments are non-tenurable and must be based in departments. Consideration for appointment will begin with the submission of a completed application to the appropriate administrative office.

- C. A cover letter soliciting a letter of reference from the department chair must accompany the application. This letter of reference and a positive faculty vote is required for consideration for gratis faculty appointment. The letter of reference must include how the faculty member will contribute to the teaching and/or research missions of the School.
- D. It is anticipated that most new gratis faculty candidates will request appointment at the rank of clinical instructor/adjunct instructor or assistant clinical professor/adjunct assistant professor for those with board certification or Ph.D.'s with post-doctoral experience. If the prospective gratis faculty member has served as full-time faculty or gratis faculty of higher rank at this or another university prior to joining the University of Louisville medical community then the prospective faculty member may apply for a position of higher rank. When applying for a higher rank the prospective faculty member will provide documentation of his/her activities at the prior medical center that warrant the higher rank position. Furthermore, a letter of recommendation from a faculty member of the program in which the candidate had an affiliation should attest to the candidate's performance and qualifications pertaining to the higher rank. Appointment at advanced rank (defined as associate clinical professor/adjunct associate professor or higher) requires review by the School of Medicine Promotion, Appointment and Tenure Committee.
- E. The term of initial appointments will be at the discretion of the department chair but may not exceed:

| | |
|--|-------------|
| Clinical Instructor / Adjunct Instructor | Three years |
| Assistant Clinical Professor / Adjunct Assistant Professor | Five years |
| Associate Clinical Professor / Adjunct Associate Professor | Five years |
| Clinical Professor / Adjunct Professor | Five years |

Reappointment at the same rank is possible and is described in the Appendix section IV.

The application for appointment, ballot, letter of reference from the department chair and any other supporting documents will be reviewed by the Dean of the School of Medicine and the Vice President for Health Affairs for recommendation and thereafter transmittal to the University Provost and Board of Trustees.

IV. REAPPOINTMENT:

- A. The term of appointment to gratis faculty is time limited. Notice should be sent to the faculty member by the department approximately one year prior to the expiration date of the current appointment; however, it is the responsibility of the gratis faculty member to apply for reappointment six months prior to the expiration date of his/her current appointment in order to ensure continuity of appointment.
- B. Reappointment will be made to the gratis faculty for the same maximum terms delineated above for initial appointments. Reappointments originate in the department and are reviewed and recommended to the University Provost by the Associate Dean for Faculty Affairs.

V. PROMOTION

- A. Application for promotion should be made by the gratis faculty member six months prior to the time the current appointment is to be reviewed. The faculty member should return the completed application with a letter requesting consideration for promotion. Department chairs can also initiate promotion considerations.
- B. Promotion in the gratis faculty track will be sequential and determined by the duration of involvement and demonstration that the specific criteria in this Appendix Section II have been met.

- C. The standard minimum time the gratis faculty member will serve at the appointed rank prior to applying for promotion is as follows:
- Clinical Instructor/Adjunct Instructor and Assistant Clinical Professor/Adjunct Assistant Professor (combined): Five years (for promotion to Associate Clinical Professor/Adjunct Associate Professor)
- Associate Clinical Professor/Adjunct Associate Professor: Five years (for promotion to Clinical Professor/Adjunct Professor)
- Early promotions based on exceptional contributions are possible.
- D. Promotion from clinical instructor/adjunct instructor to assistant clinical professor/adjunct assistant professor may be done any time but requires board certification in disciplines where applicable. If the candidate is not a clinician, promotion to assistant clinical professor requires that he/she must have attained the highest degree possible in their respective discipline and have had academic post-doctoral experience.
- E. Promotion to associate clinical professor/adjunct associate professor will require documentation of contributions to the School during the time in rank, including teaching and/or research activities.
1. For documentation of teaching, evidence of quantity and quality must be provided and should be sufficiently substantial and of sufficient quality as to warrant promotion. Submitted evidence should include a summary of the specific teaching activities and evaluations of the teaching effort by recipients of the effort and by peers.
 2. For documentation of research, evidence of collaborative research productivity with at least one full-time faculty member must be submitted and should be of sufficient quantity and quality as to warrant promotion. Evidence should include joint presentations, dissemination of the research effort through publications or other media, and/or successful grant applications.
- F. Promotion to clinical professor/adjunct professor will require an exceptional effort on the part of the gratis faculty candidate. The effort should significantly exceed those for promotion to associate clinical professor/adjunct associate professor.
- G. A positive faculty vote, a positive department chair letter, two intramural letters and two extramural letters are required for promotion. Letters should attest to the nature, quantity and quality of the candidate's contributions to the School's mission during the time in rank. In addition to the review required for new appointment to advanced rank, the School of Medicine Promotion, Appointment and Tenure Committee must review and recommend promotions to the ranks of associate clinical professor/adjunct associate professor and higher.
- H. At the time of retirement, the gratis faculty member that has achieved advanced rank (associate clinical professor/adjunct associate professor or clinical professor/adjunct professor) may be given an emeritus gratis faculty position at the highest rank attained.

VI. CRITERIA FOR GRATIS FACULTY REAPPOINTMENT

- A. The following describes in more detail the criteria for gratis faculty status and the way that each should be documented at the time of reappointment.
1. Active participation in the teaching mission of the School of Medicine with medical students, nursing students, residents, fellows, or other health profession students. The candidate must provide evidence of the quantity and quality of the teaching activity

during the previous appointment period, including teaching evaluations. Examples of contributions to the teaching mission are:

- a. Service as an attending physician on an inpatient teaching service
- b. Preceptorship for medical students or residents in the office setting
- c. Instructional involvement in departmental clinics or affiliated hospital based clinics
- d. Didactic lectures
- e. Regular participation in departmental educational services
- f. Regular participation in interdisciplinary teaching efforts
- g. Mentoring or advising activities

-or-

Active participation in the research mission of the School of Medicine through collaboration with at least one full-time faculty member in research or serving on the Institutional Review Board (IRB). This must be documented by a letter from the chair of the IRB or a full-time faculty collaborator and reflected in joint presentations, publications or grant applications.

- 2. Maintaining a license in good standing in disciplines where appropriate.
- 3. Maintaining a personal profile that positively reflects the University of Louisville School of Medicine. The reputation of the School is dependent upon the reputation of its faculty. It is imperative the faculty members are of the highest professional character and adhere to the written standards of the School.

VII. TERMINATION OF APPOINTMENT

- A. Recommendation of termination prior to the end of the appointed term should be forwarded to the Dean for review and recommendation to the University Provost and the Board of Trustees.
- B. Justification must include refusal to comply with the requirements and criteria set forth in this document or inactivity when asked to comply.
- C. Non-renewal at the end of the appointed term is at the discretion of the faculty and the department chair and may be done without cause.

As recommended by School of Medicine Medical Council 11/20/00

As recommended by School of Medicine Faculty Forum 02/14/01

As recommended by the School of Medicine Executive Faculty 07/30/01

As recommended by the School of Medicine Faculty Forum 11/14/01

Approved by the School of Medicine Executive Faculty 01/23/02

Reviewed by Faculty Senate Redbook Committee 02/28/02

Approved by Board of Trustees 04/22/02

Revisions approved by the School of Medicine Promotion, Appointment and Tenure Committee 4/16/2008

Revisions approved by the School of Medicine Rules Policies and Credentials Committee 4/24/2008
Revisions approved by the School of Medicine Faculty Forum 5/14/2008
Revisions approved by the School of Medicine Promotion, Appointment and Tenure Committee 5/21/2008
Revisions approved by the School of Medicine Executive Faculty 8/7/2008
Revisions approved by the Board of Trustees 12/17/08