

**DARTMOUTH MEDICAL SCHOOL
GUIDELINES FOR FACULTY PROMOTION PROCEDURES
July, 2003**

The authority to award promotions of the Medical School's faculty lies with the Trustees of Dartmouth College. The Trustees, however, act upon recommendations made by the Medical School and the administration of Dartmouth College. These Guidelines outline the procedures for the consideration of promotion issues prior to the presentation of a promotion recommendation to the Trustees of Dartmouth College. They apply to promotions of the basic science faculty and the clinical faculty at time of promotion from Assistant Professor to Associate Professor or from Associate Professor to Professor (with or without tenure).

These Guidelines focus on promotions *procedures*; the *substantive* standards affecting promotion are discussed in other documents. The Medical School's standards for promotion and the customary time when candidates are eligible for promotion are contained in a document entitled, "Faculty Appointments and Titles at Dartmouth Medical School;" the Medical School's conditions for tenure are contained in a document entitled "Plan for Faculty Tenure at Dartmouth Medical School;" and a financial option for some tenure-track faculty at or above the Associate Professor level is described in a document entitled "Program for Extended Guarantee of Compensation at Dartmouth Medical School."

I. Procedures for Promotion Consideration at the Departmental Level.

The department has the initial responsibility for determining whether or not to recommend a faculty member in the department for promotion based on a thorough and objective review. Considerations about faculty promotions at the departmental level are lead by the Departmental Chair with the involvement of some or the entire senior faculty, as appropriate.

Outside Reviewers

Number of reviewers: During the departmental review process, the Departmental Chair will solicit three or four letters from outside (non-DMS) reviewers who hold a faculty appointment at the Associate Professor or Professor level at another academic institution, who can assess the candidate's academic performance.

Selection of reviewers: The candidate may provide the Chair with a list of up to 5 suggested outside reviewers, together with information about the professional relationship of the suggested reviewers to the candidate, if any, and the basis for their selection as individuals qualified to evaluate the candidate. In selecting the outside reviewers from whom letters will be requested, the Chair may choose to accept names from the candidate's suggestions for outside reviewers, or the Chair may independently select other outside reviewers.

The outside reviewers should be qualified to credibly assess the candidate's performance under the principles outlined in the document entitled, "Faculty Appointments and Titles at Dartmouth Medical School." Because these principles vary depending upon the level of promotion under consideration and the nature of the candidate's portfolio, the credentials of the outside reviewers may vary depending on the particular situation. It is recognized that outside reviewers may not necessarily be personally familiar with a candidate's teaching performance and that their role, in large part, is to assess the professional reputation and standing in the non-Dartmouth academic and/or clinical community relevant to the candidate's promotion. Outside reviewers must hold academic rank at or above the academic rank for which the candidate is being considered.

Solicitation of Letters: To ensure consistency among departments and consistency between the departmental review and review at the Medical School level, the Chair's letters to outside reviewers should use similar language defining the charge to the outside reviewers and should have, as an enclosure, a copy of the Chair's draft letter to the Dean about the candidate. A sample letter is attached to these Guidelines (Attachment A). The candidate should not be informed of the names of the outside reviewers who are selected by the Chair, and the Chair is responsible for informing the candidate that the candidate should not personally communicate with any of the candidate's suggested outside reviewers about the fact that their opinions may be solicited or the substance of the review.

As indicated below, all outside letters received by the Chair will be included in the candidate's file provided to the Medical School's Appointments, Promotions and Titles Committee (APT). In addition, the list of suggested reviewers provided by the candidate will be forwarded by the Chair to the APT Committee and the Chair may choose, at his or her discretion, to provide names of additional outside reviewers to the APT Committee for its consideration.

Inside Reviewers

The Chair will also solicit letters from at least two (2) inside (DMS) peer reviewers, selected by the Chair without consulting the candidate. The peer reviewers may have a stronger basis than outside reviewers to assess the candidate's teaching abilities, clinical skills and contributions to the Dartmouth community.

Recommendations

After considering the candidate's file, including the letters solicited by the Chair, the Department's promotions body will decide to recommend the candidate for promotion or decide not to forward the candidate's file for further consideration for promotion. A decision not to recommend for promotion from Assistant Professor to Associate Professor may, in certain circumstances, lead to a recommendation by the Chair to extend the candidate's faculty appointment for only a final, terminal year. Any such decision should be in writing and a copy should be sent to the Dean.

Transmittal of Recommendation for Promotion

The Departmental Chair will forward recommendations for promotion to the APT Committee, which will perform its own review. The Chair will transmit the following documents to the APT Committee:

1. A letter from the Chair to the Dean of the Medical School, in his or her capacity as Chair of the Department's promotions committee, recommending promotion (13 copies). The letter will include the following information and assessments:
 - a. The first paragraph of the letter should contain the candidate's proposed rank (primary department listed first if joint appointment). If the promotion is to the rank of Professor, the first paragraph should also specify whether this is a request for tenure or non-tenure.
 - b. The effective dates of the proposed appointment (July 1, 20XX through June 30, 20XX);
 - c. Identification of the candidate's academic portfolio, for example, Clinician/Teacher, Investigator/Teacher, or Investigator/Clinician/Teacher;
 - d. A breakdown of the percentage of effort the candidate spends in clinical activities, research or other forms of scholarship, teaching, administration, and other activities;
 - e. A precise description of the candidate's field of specialty; and
 - f. A detailed explanation of the basis for the promotion recommendation, including:
 - i. the professional and personal qualities of the candidate that merit consideration;
 - ii. The candidate's academic role in teaching and research;
 - iii. The candidate's contribution to the department and the Medical School; and
 - iv. Evidence of regional, national or international recognition, as appropriate for the level of promotion and the portfolio.
2. A letter of approval from the secondary Chair in the cases of joint appointment where promotion in the secondary Department is also being recommended [13 copies].

3. A career overview, written by the candidate summarizing background, achievements and future direction. This should be no more than one to two pages. (13 copies)
4. A current Curriculum Vitae of the candidate (13 copies)
 - a. The C.V. must be in the Harvard Format (see Attachment B)
 - b. The C.V. should include full information about the candidate's past, present and pending grant support;
 - c. The C.V. should list publications chronologically in the following categories:
 - i. Articles in peer reviewed journals;
 - ii. Book chapters and books;
 - iii. Abstracts;
 - iv. Miscellaneous publications and letters to the editor; and
 - v. Addresses delivered at meetings or at the request of other academic institutions.
5. Data supporting the Chair's assertion that the candidate has achieved the criteria for promotion, including:
 - a. Letters from inside reviewers, including, where relevant, letters from colleagues attesting to quality of teaching and, as appropriate, clinical accomplishments;
 - b. Teaching evaluations;
 - c. For faculty new to DMS a letter outlining the candidates teaching accomplishments/history/expertise, from the Associate Dean of Medical Education (or equivalent) at the candidate's current institution.
 - d. Letters solicited from the outside reviewers, letters sent to the reviewers framing the request, information indicating whether the reviewers were selected by the Chair, the professional relationship of the reviewers to the candidate, if any, and the basis for their selection as individuals qualified to evaluate the candidate; The majority of outside letters/reviewers have to come from individuals who have not trained, worked or collaborated with the candidate for a minimum of 5 years.
 - e. Four (4) to ten (10) different publications authored by the candidate (13 copies)
6. The list of outside reviewers suggested by the candidate, together with the information provided by the candidate about the suggested reviewers, described above.

7. Evaluations from 10 individuals who have been taught by the candidate. These evaluations ideally will include some combination of medical students, graduate students, residents and post-doctoral fellows and, where appropriate, undergraduate students.

8. The Departmental Chair's assessment of the candidate's institutional contributions, unique characteristics, and potential for leadership within the institution.

The Departmental Chairs will forward their recommendations for promotion and all supporting material to the APT Committee by *December 1*.

II. Procedures for Promotion at the APT Committee Level

The APT Committee reviews candidates for promotion who have been recommended by their respective departments. The Committee represents the interests and perspectives of the Medical School as a whole.

Committee Composition

The APT Committee consists of 11 members: the Dean of the Medical School or the Senior Associate Dean for Academic Affairs, five (5) professors from the basic science departments, and five (5) professors from the clinical departments. The Dean serves as Chair of the Committee. Members of the Committee, other than the Dean, are chosen by the Senior Associate Dean for Academic Affairs, subject to approval by the Dean, for terms of three years each. No member of the Committee (other than the Dean) can serve more than two consecutive terms. The Vice Chair of the APT Committee is appointed by the Dean from among the members of the Committee. The Vice Chair serves as Vice Chair for two years, and the Committee member appointed to fill the Vice Chair position alternates between a member of a clinical department and a basic science department.

In addition to the responsibilities described below, the Vice Chair is responsible for: chairing the meetings in the Dean's absence; working with the Administrative Assistant to assure that the Committee stays on schedule, meets deadlines and has sufficient information; and meeting periodically with Departmental Chairs to review the APT process.

The Committee is assisted by an Administrative Assistant who maintains the promotion files. More specifically, the Administrative Assistant is responsible for:

- a. Ensuring that all necessary documentation has been provided by the Departmental Chairs;
- b. Maintaining correspondence with outside reviewers, inside reviewers, and students;
- c. Keeping the APT member responsible for the file informed of the status of the file; and maintaining all APT documentation; and
- d. Providing secretarial support to the APT committee.

Committee Meetings and Schedule

The APT Committee meets in early December to review the list of faculty members proposed for promotion by the departments and to receive their assignments. Regular APT Committee meetings begin in early January to start discussing the candidates. All files will be reviewed, discussed and voted upon by April 1. However, the committee will schedule its deliberations on candidates for Professor who are potentially eligible for tenure as early in the deliberation process as possible.

Committee Operations

The APT Committee is responsible for assembling and reviewing information regarding the candidates' qualifications for promotion in rank and for assuring the objective assessment of the candidates' academic and professional achievements.

1. At the December Committee meeting, the Vice Chair assigns each candidate for promotion to one APT Committee member who will then be responsible for an in-depth review of the candidate's file.
2. The APT Committee member responsible for a candidate will ensure that the candidate's file contains at least 5 letters from outside reviewers in the case of promotions to Associate Professor and at least 7 letters from outside reviewers in the case of promotions to Professor. In any event, the APT Committee member responsible for a candidate, along with the Administrative Assistant, will ensure that a majority of the letters in the file are solicited from outside reviewers who are not drawn from the list of suggested reviewers provided by the candidate.
3. The APT Committee member responsible for a candidate may also choose to seek additional reviews from inside reviewers selected by the Committee member.
4. The Committee member responsible for a candidate will make a presentation of the candidate's file to the Committee, including a recommendation for or against promotion, and will participate in the Committee's deliberations. This presentation must be written and sent electronically to the Administrative Assistant responsible for maintaining promotions files.
5. After discussion, Committee voting on candidates will be conducted as follows:

- a. Candidates who receive less than 50 percent of the votes for promotion of all 11 Committee members will not be recommended for promotion.
 - b. Candidates who receive greater than 50 percent of the votes for promotion of all 11 Committee members will be recommended for promotion.
 - c. A secret ballot can be called for by any member of the Committee at any time. Otherwise, voting will be performed by a show of hands.
 - d. If any member of the APT Committee is a member of the candidate's department, that member will abstain from the discussion and the vote regarding the candidate. In this case, a majority vote for or against promotion will still constitute six (6) or more.
6. The Committee's vote and a brief written summary of the reasons for the vote will be recorded in all cases. The Committee member responsible for the candidate will draft this summary and present the summary to the Committee for review and approval.
 7. The vice Chair of the Committee will submit to the Dean the recommendations of the Committee for each candidate reviewed by the Committee, the written summaries of the Committee's review, and the vote tabulation for each candidate.
 8. Throughout the review process, the APT Committee's procedures are confidential. Committee members will not discuss any recommendation or any details of the process or discussion outside the APT meetings.

III. Procedures for Promotion Following the APT Committee's Recommendation

Dean's Review

Upon receiving the APT Committee's recommendation, the Dean will review the recommendation. If the Dean so chooses, the Dean may add to the file his or her own views (positive or negative) on the candidate's promotion.

The file of a candidate who has not been recommended for promotion by the APT Committee will receive no further consideration for promotion at that time. The file of a candidate who has been recommended for promotion by the APT Committee will receive further review.

DAB Review

The Dean will inform the voting members of the Dean's Advisory Board (DAB) of the names of candidates who have been recommended for promotion by the APT Committee and will request that the voting members of the DAB review the files of any candidates about whom they may have any questions or concerns. After receiving this

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information, the voting members of the DAB will vote on each candidate's promotion at their next meeting (no later than April). The Dean may choose to bring names of candidates for promotion before the DAB from time to time during the late winter and spring rather than presenting all candidates for consideration at one meeting.

A vote approving a recommendation to promote a candidate requires that the candidate receive at least 50 percent of the votes of all voting members of the DAB. The voting members of the DAB are the Dean, the Departmental Chairs, the Director of the Norris Cotton Cancer Center, the President of Mary Hitchcock Memorial Hospital, the elected leader of the Lebanon campus of the Dartmouth Hitchcock Clinic, and the Chief of Staff of the Veterans Affairs Medical Center in White River Junction. DAB members will hold the names of any candidates for promotion and any information they obtain about the candidates in strict confidence.

After all recommendations for promotion from the APT Committee have been voted on by the DAB, the Departmental Chairs have the option of informing the candidates within their departments who have not been recommended for promotion of their status. Candidates who are being recommended for promotion should not be informed of the status of their promotions until after the Trustees have acted on the promotion recommendations.

Provost's Review

The Dean will transmit to the Provost the recommendations for promotion that have been supported by both the APT Committee and the DAB. Recommendations for promotion to Associate Professor or Professor without tenure will be accompanied by the candidate's c.v. Recommendations for promotion to Professor with tenure will be accompanied by a detailed letter from the Dean that includes a description of the candidate's qualifications and accomplishments, the role of the candidate in the Medical School's academic activities, the reviewers' assessments of the candidate, the basis for the reviewers' credibility, and, if the Dean so chooses, the Dean's views of the candidate. The Dean will also provide the Provost with the summary and vote from the APT Committee, the vote by the DAB, and all letters from reviewers (inside and outside) with respect to the candidate's consideration.

The Provost and the President of the College may accept the APT Committee's recommendation, reject the recommendation, or request the Dean, as Chair of the APT Committee, to provide additional information. The action by the Provost/President should be recorded in the form of a letter to the Dean and become a part of the candidate's confidential file.

Presentation to the Trustees of Dartmouth College

For those candidates whom the Provost and the President accept the recommendations for promotion, the Provost will present to the Trustees of Dartmouth College who are empowered to offer faculty promotion.

IV. Normal Schedule of Procedures

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December 1	Departments submit promotion recommendations to APT Committee
December	APT Committee meets and candidate's files are assigned to Committee members.
January	APT Committee meets to begin reviewing and voting on completed files, with focus first on promotions eligible for tenure
April	APT Committee completes its review and votes on candidates
February - April	DAB reviews candidates recommended for promotion by APT Committee
March - May	Provost and President Review candidates recommended For promotion
June	Trustees of Dartmouth College vote on candidates recommended for promotion

ATTACHMENT A
Sample letter to outside reviewers

«today»

«name»
«address»

Dear «ltrname»:

The promotions process of Dartmouth Medical School involves review of each nominee's curriculum vitae and other selected material by acknowledged academic leaders outside of the Dartmouth community. I write to solicit your participation in this process. Our Promotions Committee has identified you as an authority in a field related to that of «promo_name» who is being considered for «appt/promo» «title» along the «track» portfolio. Please note that it is not essential for you to know the candidate personally or even by reputation.

What we seek is your opinion of the quality of this individual's accomplishments based upon the enclosed material listed below.

- 1) The Department Chair's letter requesting Dr. «last_name»'s promotion. This letter stipulates the promotion track and describes the candidate's portfolio.
- 2) Dr. «last_name»'s current curriculum vitae.
- 3) Dartmouth Medical School's Promotion Criteria.
- 4) Reprints of selected publications.

The Faculty Promotions Committee would be very grateful for your candid opinion regarding this candidate's suitability for the proposed rank, especially as compared to standards in your own institution. We would also especially value your comments about the candidate's posture in his or her field relative to the top 5 to 10 individuals of comparable proposed academic rank in the region or country.

The promotions process involves discussion by a 10 person committee composed of senior faculty from a range of disciplines and final review by the Provost and President of Dartmouth College. For that reason, it would be particularly useful if your review provided sufficient detail to inform individuals who may be unfamiliar with your field of scholarship. Against that background, I would ask you to emphasize your detailed assessment of the candidate's scholarly contributions and the candidate's posture in his

or her field of scholarship. In our promotions considerations, candidates who are involved predominantly in clinical activities are generally assessed relative to their regional and national posture, and candidates who are involved predominantly in investigative activities are generally assessed primarily relative to their national and international posture. You have perhaps heard the candidate lecture to a regional or national audience, and you have perhaps observed them on a national panel or study

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section or the equivalent. Please use such observations where applicable. Finally, we encourage your comments about the candidate's teaching skills, but recognize that it would be unusual for an outside reviewer to have intimate exposure to this aspect of a candidate's portfolio.

We would greatly appreciate it if we could receive your response by «date». Needless to say, your comments will be held in the strictest confidence. It would also be helpful if you could give us the names of others who might offer valuable opinions about this candidate.

With many thanks for assisting us in this important process.

Sincerely,

Department Chair

ATTACHMENT B
Harvard Format for C.V.s

Dartmouth Medical School
Format for Curriculum Vitae

Name:

Address:

Date and Place of Birth:

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Social Security Number:

Education: Presented in reverse chronological order; Institution, degree, date

Postdoctoral Training: Presented in reverse chronological order

Licensure and Certification: if applicable

Academic Appointments: Presented in reverse chronological order

Other Professional Positions:

Awards and Honors:

Major Committee Assignments and Consultations:

National and Regional
Institutions

Editorial Boards:

Journal Referee Activities:

Memberships, Office and Committee Assignments in Professional Societies (include dates):

Teaching Experience/Current Teaching Responsibilities (include dates):

Research Interests:

Research Funding in chronological order of award. Project title, awarding agency, amount, period, principal investigator, function on project if not PI.

Bibliography: Presented in chronological order: Author(s), title, citation, date

Books:

Book Chapters:

Symposia:

Journal Articles:

Abstracts: