

FACULTY PROMOTION AND TENURE POLICIES AND PROCEDURES

VIRGINIA COMMONWEALTH UNIVERSITY AND SCHOOL OF POPULATION HEALTH

(BASED ON INTERIM FACULTY PROMOTION AND TENURE POLICIES AND PROCEDURES FOR FACULTY HIRED BEGINNING 1/1/2023)

**Revision approved by majority vote of faculty from the VCU School of Population Health
on March 27, 2024**

SOPH policies in italics

1.0 GOAL, OBJECTIVES AND AUTHORITY

1.1 Goal

Excellence is the original and continuing goal of Virginia Commonwealth University (VCU). A prerequisite of this goal is the recruitment and retention of a distinguished faculty. This requires the appointment, promotion and tenure of a faculty in a way that encourages excellence in the creation, dissemination and application of new knowledge and artistic expression and fosters an atmosphere of free inquiry and innovation in a global setting.

Appointment, promotion and tenure are based on the merit of the individual, consideration of comparable achievement in the faculty member's particular field, and the faculty member's value to the mission, needs and resources of the university. Central to the appointment, promotion and tenure process is VCU's commitment to recognize and reward faculty members who help fulfill the mission and vision of the university.

Recognized and rewarded contributions include those made to the intellectual and academic success of a diverse student body through teaching; to research and discovery that advances knowledge, inspires creativity and improves human health through scholarship; and to the global engagement of students, faculty, and staff that transforms lives and communities through service in support of the university's mission.

Faculty members may be recognized and rewarded for academic work conducted in an integrated way by using their research to inform their teaching; using their service and teaching as sources of ideas for their research; and using their teaching as opportunities to provide service to the community, as well as to foster student learning.

Promotion in rank reflects quality of performance in appropriate teaching, scholarship and service as noted above. Tenure shows the university's continuing commitment to the faculty member, whose position shall not be terminated without adequate reason. The promotion and tenure system at VCU is designed to foster:

- Academic freedom of thought, teaching, learning, inquiry and expression
- Fair and equitable treatment for all individuals
- Appropriate participation by the faculty, the student body, the administration, and the Board of Visitors
- A normal succession and infusion of new faculty members.

1.2 Objectives

The objectives of the system described in this document are:

- Promotion of an engaged, learner-centered environment that fosters inquiry, discovery and innovation in a global setting
- Faculty achievement to the highest attainable degree within the context and resources of the university
- Support of university goals and support of the diverse missions and characteristics of its individual academic units
- Commitment to administrative management which provides for fair and reasonable allocation of time and resources
- Assurance of the financial integrity of the institution
- Sufficient flexibility to permit modifications of programs, curricula and academic organizational units to meet changing academic, institutional and societal needs.

1.3 Relationship of Schools and Departments to University Promotion and Tenure Policy

Each school¹ and each department of a school where recommendations for academic appointments are initiated shall establish written guidelines for promotion and tenure. The policies and procedures for granting expedited promotion and tenure shall also be established at the unit level. Unit guidelines shall be consistent with the University-wide policies in this document, but shall also specify the details involved in meeting the particular goals and objectives of those units. In particular, this guidance document shall be read in conjunction with the University's [Interim Faculty Promotion and Tenure Policies and Procedures for Faculty Hired Beginning 1/1/2023](#). In the event of any conflict between these Guidelines and any Departmental Guidelines, these guidelines shall control, and in the event of any conflict between these guidelines and other University policies, the University policies shall control.

Promotion in rank and tenure are considered initiated wherever the budgetary and signature authority for Personnel Actions Forms resides. If promotion and tenure are initiated only at the school level, guidelines shall be written only for the school. If promotion and tenure are initiated at the departmental level, guidelines shall be written for both the department and the school. The guidelines for the procedures and criteria for a given department of a school may be identical to the guidelines of that school.

Guidelines shall define tenured and term (non-tenure) faculty positions and the relationship of the unit's promotion and tenure system to the unit's work plan and individual faculty work plans developed in accordance with the Faculty Roles and Rewards Policy.² The guidelines of each school and each department must be consistent with university policy but shall include procedural variations, composition

of committees and criteria for promotion and tenure relative to the unit's mission. The guidelines shall include specific measures for evaluating faculty performance.

The guidelines for all departments and/or schools shall be formulated and reviewed periodically by a committee of the department and/or school. The faculty shall elect the committee members, and the committee members shall be open to faculty recommendations. A majority vote of the faculty shall be required for the approval of all unit guidelines.

1.4 Appointing Authority

Promotion and tenure of the faculty are made under the ultimate authority and with the final approval of the Board of Visitors.

The president is authorized to recommend faculty promotions and conferral of tenure to the Board of Visitors according to the procedures set forth in this document.

2.0 FACULTY RANKS AND APPOINTMENTS

The document applies to the university faculty appointments at the ranks of professor, associate professor, assistant professor and instructor. All faculty appointments shall be either tenured, probationary (tenure-eligible), term (non-tenure), or adjunct (non-tenure). Section 3.0 defines these types of appointments.

2.1 General Criteria and Criteria Definitions for Tenured, Tenure-eligible, and Term (non-tenure) Faculty Members

In order to ensure distinction in learning, research, scholarly pursuits and creative expression, and service, the following criteria shall apply in the evaluation of all tenured and tenure-eligible faculty members for promotion and tenure. For faculty members holding term (non-tenure) faculty appointments, the criteria shall be applied in the evaluation for promotion as appropriate to the individual faculty member's special mix of duties. All faculty members' work plans are developed in accordance with the Faculty Roles and Rewards policy. Faculty members holding administrative positions must meet the guidelines of their own academic unit. General criteria include:

1. Appropriate credentials and experience.
2. Demonstrated continuing scholarship and professional growth. Faculty members should be continuously engaged in productive and creative scholarly activity in areas relevant to the goals and mission of their academic unit. They should make a substantive contribution to the body of knowledge in their discipline that reflects high standards of quality in creativity, scholarship and professional competence. They should demonstrate leadership and professional competence in independent scholarship and/or collaborative research that leads to the creation of new knowledge or creative expression. Scholarship can be in the form of research and discovery scholarship, the scholarship of teaching and learning, or community-engaged research. Research and discovery scholarship breaks new ground in the discipline and answers significant questions in the discipline. Scholarship of teaching and learning includes applied research regarding various pedagogies, student learning, and assessment practices; development and dissemination of materials for use in teaching beyond one's

own classroom. Community-engaged research is a collaborative process between the researcher and community partner at all stages of the research process. Examples are community-based participatory and action research.

3. Demonstrated quality in teaching. Teaching shall be evaluated based primarily upon the impact of the faculty member's teaching in programs relevant to the mission of their academic unit. Faculty members must demonstrate mastery of their subject matter and at communicating this understanding to student learners; most fundamentally, faculty members should demonstrate that their students learn. There should be evidence of the candidate's sustained commitment to classroom instruction, to inclusion of advising and availability to students as a component of teaching, to sustained effectiveness as a contributor to the intellectual development of students through devices such as course design, course material, curriculum development, and attention to other mechanisms of enhancing student learning. Mentoring, and other forms of beneficial interactions between the candidate and learners, may be given appropriate weight as a part of the teaching criteria as determined by the academic unit. Demonstrated quality of teaching may include community-engaged teaching that connects students and faculty members with activities that address community-identified needs through mutually beneficial partnerships that deepen students' academic and civic learning. Examples are service-learning courses or service-learning clinical practice.
4. Demonstrated performance in service. Faculty members are expected to give of their time and expertise for the betterment of their department, school and university, their profession and/or the broader community. Service includes engaging in the application of learning and discovery to improve the human condition and support the public good at home and abroad. Demonstrated performance in service may include community engaged service, which is the application of one's professional expertise to address a community-identified need and to support the goals and mission of the university and the community partner.

2.1.1 Application of Criteria and Criteria Ratings for Tenured and Tenure-eligible Faculty

Faculty member performance with respect to teaching, scholarship, and service shall be rated (in descending order) as excellent, very good, satisfactory, or unsatisfactory. Credentials and experience shall be rated as satisfactory or unsatisfactory. All written reports and evaluations of tenure and tenure-eligible faculty performance ratings shall use this terminology.

Appointment or promotion to assistant professor shall indicate the candidate can be expected to perform satisfactorily all required academic duties and holds promise for further professional development.

Appointment or promotion to associate professor requires a minimum rating of excellent in either scholarship or teaching and a rating of very good in the other of these two categories. Candidates also must achieve a minimum rating of satisfactory in service. Candidates must be effective researchers and teachers and show a pattern of accomplishment in scholarship that indicates progress toward a national or international reputation in their discipline.

Appointment or promotion to professor requires a minimum rating of excellent in either scholarship or teaching and a rating of very good in the other of these two categories. Candidates also must achieve a minimum rating of very good in service. Candidates must be effective researchers and teachers and

demonstrate a pattern of distinguished accomplishment in scholarship that indicates achievement of a national or international reputation in their discipline.

2.1.2 Application of Criteria and Criteria Ratings for Promotion for Term (Nontenure) Faculty

Each unit with term (non-tenure) faculty appointments shall provide written guidelines for promotion of term (non-tenure) faculty. The criteria and definitions of criteria as specified in 2.1 shall apply to term (non-tenure) faculty to the extent that the criteria and definitions are consistent with that faculty member's special mix of duties. The guidelines shall address how a term (non-tenure) faculty member's effort shall be weighted by the special mix of duties assigned to faculty members holding these appointments. The guidelines shall also specify the voting rights of the faculty regarding a recommendation to promote or renew these faculty appointments.

2.2 Departmental and School Criteria for Tenured, Tenure-eligible and Term (Nontenure) Faculty Members.

- The detailed school and/or department guidelines shall amplify the general criteria of the university.
- Additional special criteria unique to a given school and/or department are encouraged.
- The individual school and/or departmental guidelines shall designate the relative importance of the scholarship, teaching, and service criteria and define what they mean by ratings of excellent, very good, satisfactory, and unsatisfactory in each area.
- These guidelines shall be approved by the unit's faculty and thereafter provided to all new faculty members and filed with the school and provost's office and the University Promotion & Tenure Policy Review Committee.

Each department of the School of Population Health (SOPH) is expected to develop and sustain an outstanding faculty actively engaged in teaching, scholarship, and service. Where departmental guidelines have been created, they may amplify but not contradict this document.

2.2.1 School of Population Health Criteria: General

Promotion in the SOPH is dependent upon continuing achievement in teaching, scholarly activity, and service. Faculty should receive written guidelines from their department Chair that delineate the proportion of their efforts in each of these areas. Chairs should review with the faculty member the allocation of the faculty member's effort at least annually, provide feedback to each faculty member in writing, and submit these documents to the departmental peer review committee with the promotion and tenure materials.

a. Academic Credentials and Experience

The candidate must hold a terminal masters or doctoral degree in an appropriate discipline, plus such postgraduate training as is appropriate.

b. Teaching

Teaching involves the dissemination of knowledge and the development of skills and abilities in our learners, who can be students, graduates, faculty, staff, or community members. These aims are achieved through formal lectures, supervised experiential learning, demonstrations and modeled behaviors, small-group education, and

one-to-one instruction, provided through in-person, online or hybrid modalities. The development, implementation, and assessment of new teaching materials, course designs, and new technologies to promote learning are important contributions to teaching. Teaching may occur in the SOPH, other schools and colleges throughout VCU, the health system, the community, through professional organizations, and in other settings. The candidate should demonstrate the ability to mentor or lead students to think purposefully and critically, to broaden the student's interest, to seek out innovative techniques where appropriate, and to transmit knowledge effectively to students, staff, patients, professionals, and the public.

c. Scholarly Activity

Scholarship includes peer-reviewed contributions in various Public and Health Sciences fields, creation and dissemination of non-peer-reviewed material for the public benefit (examples include but are not limited to policy briefs, "white paper" reports, books and monographs, newspaper or magazine articles, interviews or podcasts), and community-engaged research. The SOPH values high-quality scholarship led by our faculty, as well as that achieved through the collaborative efforts of SOPH faculty. The SOPH recognizes the expanded definition of scholarship proposed by Boyer and colleagues that includes:

- The scholarship of **discovery** that advances new knowledge in a discipline.*
- The scholarship of **integration** that makes connections between new knowledge across disciplines such as translational and interdisciplinary research.*
- The scholarship of **application** which takes the outcome of new knowledge to socially consequential problems such as outcomes research, public health and clinical guidelines, diagnostic or treatment response criteria, and the creation of new or innovative quality improvement programs or methods based on the outcomes of empirical research.*
- The scholarship of **teaching and learning** which explores ways to help learners acquire new knowledge and develop specific skills and attitudes, such as the creation or evaluation of new teaching methods or curricula, as well as the use of new technologies to improve learning or the dissemination of learning*

Both the quantity and quality of scholarly activities should be assessed to achieve a balanced evaluation, and all possible evidence of scholarly activities and capabilities should be sought, including published materials in refereed journals, unpublished manuscripts accepted for publication, and impactful non-peer-reviewed works such as white papers, community needs assessments/reports, policy briefs, interviews and podcasts.

d. Service

Service includes the development, implementation, execution and evaluation of policies, procedures and programs necessary to conduct departmental, school, university and community activities, as well as professional activities not related to the faculty member's scholarly activity. The quantity and quality of the candidate's service should be carefully assessed. All faculty must share in the work necessary to maintain operations in the Department, School and University, appropriately based on the expectations of their position. As partial demonstration of the two-way commitment between the SOPH and Tenured faculty, the latter are expected to take and maintain service leadership positions in their Department, the School, or the University.

e. Timetable for Promotion and Tenure Decision Activities (See Appendix I).

2.2.2 School of Population Health Criteria By Academic Rank: Tenure, Tenure-Eligible, and Term (non-tenure)

a. Instructor

An individual who has attained the basic degree in a specific discipline or field, who should have potential for promotion to Assistant Professor. The title of Instructor is appropriate for a faculty member when there is reasonable expectation that in the normal course of events, there will be progress to the rank of Assistant Professor. Instructors are engaged in teaching, as well as providing a service activity that serves as a framework for teaching or supervising students in an academic setting. This appointment is for a term of one year and is renewable.

b. *Assistant Professor*

For appointment at or promotion to this rank, a candidate should have:

- (1) the highest appropriate degree in a specific discipline or field*
- (2) demonstrated professional competence in a specific discipline or field*
- (3) demonstrated potential for teaching, service and scholarship. Review by a departmental committee is not required for promotion from instructor to assistant professor; in this case, the Chair must submit the candidate's curriculum vitae, bibliography, faculty data sheet, and documentation that all of the requirements listed above have been met satisfactorily to the Dean.*
- (4) Initial appointments at or promotions to rank of Assistant Professor should be made only for persons who show promise for promotion to higher ranks.*

c. *Associate Professor*

(1) General

The performance of the candidate should indicate a sustained record of professional achievements in teaching, scholarship and service, with a demonstrated trend toward national or international prominence. A positive recommendation for promotion to associate professor (and tenure, if appropriate) should be made when the candidate meets each of the following conditions:

- (a) satisfactory or better on all criteria,*
- (b) very good or excellent on at least two of the following criteria: teaching, scholarship and service. For term (non-tenure) faculty whose duties allow minimal effort (10% or less) in at least one criterion, a rating of satisfactory will be sufficient in that area, provided effort is greater than 0%.*
- (c) excellent in either teaching or scholarship or; for term (non-tenure) faculty with a majority of effort designated in service, excellence in service.*

Examples of satisfactory and excellent performance are provided in Appendix III. Although candidates must achieve a balance between teaching, scholarship and service, the apportionment of teaching, scholarship and service responsibilities should be given consideration in the overall assessment.

(2) Academic Credentials and Experience

The candidate must hold a terminal degree in an appropriate discipline, plus such postgraduate training, where such training is appropriate. As a general rule, the candidate should have held appointment as Assistant Professor for a minimum of three years before being considered for appointment to Associate Professor.

(3) Teaching

The candidate should demonstrate contributions to the educational mission of the SOPH and their Department, including contributions to courses, curriculum design, implementation, or assessment, or teaching through professional organizations. The candidate should have successfully served as a mentor or advisor of students, colleagues, or postdoctoral trainees.

(4) *Scholarship*

The candidate should demonstrate maturity and professional competence in independent scholarship or as a leader in collaborative research that should lead to publication of new knowledge. Publications in refereed journals, books and book chapters, sustained for a number of years, will be used as a guideline for measuring scholarly achievement and growth.

For faculty whose major contribution is in research, funding for research efforts, service to study sections, review committees or invitations to referee or provide editorial duties for national or international scientific journals also reflect the candidate's achievements and recognition in their area of expertise.

(5) *Service*

The candidate is expected to demonstrate contributions in administrative service to their Department, the SOPH, the University, the community, and their profession as outlined under the general guidelines above.

d. Professor

(1) *General*

Promotion to the rank of Professor (and tenure, if appropriate) is based upon sustained and increasingly impactful achievements in teaching, service, and scholarship, with national or international recognition in at least one of these areas.

(a) For tenure-eligible or tenured faculty, excellence in either teaching or scholarship, and very good or excellent in the other of those two categories. Also, excellent or very good in service.

(b) For term (non-tenure) faculty with a majority of effort designated in service, excellence in service, and either very good or excellent in teaching and scholarship. For term (non-tenure) faculty whose duties allow minimal effort (10% or less) in a criterion, a rating of satisfactory will be sufficient in that area, provided the effort is greater than 0%.

Examples of satisfactory and excellent performance are provided in Appendix III. Although candidates must achieve a balance between teaching, scholarship and service, the apportionment of teaching, scholarship and service responsibilities should be given consideration in the overall assessment.

(2) *Academic Credentials and Experience*

The candidate must hold a terminal degree in an appropriate discipline, plus such postgraduate training, where such training is appropriate. As a general rule, the candidate should have held appointment as Associate Professor for a minimum of three years before being considered for appointment to Professor.

(3) *Teaching*

Continued contributions to improvements and innovation in the educational mission of the School of Population Health and in their Department. The candidate should have successfully served as the mentor or advisor of students, colleagues, and/or postdoctoral trainees. Examples of national recognition for teaching include editing or writing a textbook, being an invited speaker at national meetings, national awards, publications, lectures or consulting, national impact on teaching methods or assessment, national funding of training grants or instructional programs, participation in national or international committees that develop educational programs or credentialing or certifying examinations.

(4) *Scholarship*

The candidate should have demonstrated a sustained pattern of scholarly productivity. The candidate's publication record should be distinguished by originality and creativity, including peer-reviewed articles in journals, reviews and book chapters. Funding for research efforts, service to national study sections, review committees or invitation to referee or provide editorial duties for national or international scientific journals also reflects the candidate's achievements and recognition in his or her area of expertise.

The candidate should have demonstrated an appropriate degree of collaboration as evidenced, for example, by the initiation of formal cooperative research ventures with colleagues, or served as a resource for junior faculty within the institution.

National recognition of scholarship must be corroborated by external scientists of outstanding reputation.

(5) *Service*

The candidate should demonstrate continued contributions in administrative service and assume a leadership role at the Department, SOPH, University, community, and/or national levels. The candidate should actively participate in their profession outside of the university. National recognition of service includes awards, publications, lectures, consulting, adoption of new clinical or administrative programs or processes at a national level and participation in national committees, programs, or panels relating to public health sciences or academic medicine.

3.0 DEFINING APPOINTMENTS

All faculty appointments shall be either tenured, probationary (tenure-eligible), term (non-tenure), or adjunct (non-tenure). Adjunct (non-tenure) appointments are part-time. All other appointments shall be full-time and either tenured, probationary (tenure-eligible), or term (non-tenure).

A tenured appointment is an appointment that continues until the faculty member either voluntarily leaves the University or is dismissed for cause as specified in Section 11. Tenure is conferred by criteria and procedures established by this document and supplemented by appropriate school and department guidelines. Tenure is granted only at the rank of associate professor or professor.

Tenure/tenure-eligible faculty hold appointments in the School of Population Health with responsibilities that include teaching and mentoring, the pursuit of meritorious independent scholarship, securing external funding to support the research effort, training future investigators, and providing service to the Department, School, University, community and profession. The amount and distribution of these responsibilities are to be agreed upon between the faculty member and the Department Chair and specified in the letter of appointment and all subsequent contract letters.

A term (non-tenure) appointment is a full-time appointment to the faculty for a specified mix of duties and does not lead to tenure. Term (non-tenure) appointments shall always be at the rank of professor, associate professor, assistant professor, or instructor. Term (non-tenure) faculty members shall hold the same rights and responsibilities specified in the Faculty Handbook as tenured or tenure-eligible faculty except they shall not be afforded tenure or tenure eligibility. When appropriate to the duties assigned to the faculty member holding a term appointment, modifiers as defined by the unit (e.g., Clinical Professor, Visiting Professor, Research Professor or Teaching Professor) should be used. A term (non-tenure) appointment may be for a period of one to five years and may be renewable.

A recommendation to appoint a term (non-tenure) faculty member should include the rank and the proposed appointment period. The letter of appointment must stipulate that this is a non-tenure eligible position and the appointment period. Term (non-tenure) faculty supported by restricted funds may be subject to different terms of notification of non-renewal than are specified below. Conditions and notifications for non-renewal are to be specified in the contract letter for term (non-tenure) appointments. Term faculty may be assigned to one of several tracks depending upon their major responsibilities (Teaching, Research, Service or Administrative, which are used as modifiers). In everyday usage, the parenthetical designations of "Term" and "Teaching, Research, Service or Administrative" may be removed from the titles of Assistant Professor, Associate Professor and Professor holding Non-Tenure appointments, but it must remain in the titles in personnel files, administrative records and other similar documents.

Term Faculty in the Teaching Track hold appointments with responsibilities that include teaching and preparation of academic courses, mentoring of students and trainees, and service in School and University-related activities. Effort devoted to scholarly activities beyond teaching and service is not to exceed 10%, unless approved by the Department Chair and Dean, at which point the parenthetical designation "Teaching Track" no longer applies. Term Faculty in the Research Track hold appointments with responsibilities that include support of the research mission, mentoring of students and trainees, and service in School and University-related activities. Effort devoted to activities beyond research and service is not to exceed 10% effort, unless approved by the Department Chair and Dean, at which point the parenthetical designation "Research Track" no longer applies. Term Faculty in the Service or Administration Tracks hold appointments that include service to their Department, the School, or the University. Effort devoted to activities beyond service are not to exceed 50%, unless approved by the Department Chair and Dean, at which point the parenthetical designation "Service Track" or "Administrative Track" no longer apply. Term Faculty with at least 10% efforts in perpetuity in both research and teaching shall not be assigned to any track (Teaching, Research, Service or Administration).

Adjunct faculty (non-tenure) appointments are granted to faculty members who serve the university part-time and are employed for specific activities. The rights and privileges of adjunct faculty shall be specified in the SOPH Bylaws, the Bylaws of the unit making the appointment, and in any relevant human resource policies, but they shall not participate in the evaluation of full-time faculty members for promotion or tenure. Recommendations for appointments or rank of adjunct, non-tenured faculty shall not require academic review outside the school. These personnel actions shall be reviewed using the SOPH and Departmental Bylaws and recommended by a letter from the department and/or school with the concurrence of the Dean.

*The **Adjunct** titles (Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, or Adjunct Instructor) apply to individuals with a part-time commitment to the appointing department and with no full-time appointment in the University. For individuals who have a primary appointment in a University unit different from that making the adjunct appointment, the appropriate title is **Affiliate Faculty** (Affiliate Faculty Appointments Policy and Procedures).*

3.1 Tenured Appointments

Tenure is conferred based on the faculty member's demonstrated capabilities, academic achievement and the University's anticipated long-term academic needs.

A recommendation for a tenured appointment is initiated only by an academic unit of a degree-granting school or college. Typically, recommendations for tenured appointments are initiated in a department of a school, but in schools where recommendations for academic personnel actions are initiated at the school level, recommendations for tenured appointments are initiated at the school level. The guidelines for each academic unit where recommendations for tenured appointments are initiated shall specify written criteria and standards for recommending tenure in that unit. These criteria shall assure that recommendations are based on a record of effectiveness in teaching, scholarship appropriate to the discipline, professional growth and service to the University, the profession or the public. These guidelines shall also specify each unit's procedures for consultation with external evaluators and how the use of external evaluators is reported to the candidate. External evaluators shall be at a rank equal to or higher than the rank for which the candidate is being reviewed.

Faculty with tenure-track or tenured appointments shall have an equitable and consistent allocation of efforts across the areas of scholarship, teaching and mentoring, and service. The typical effort distribution will be approximately 70% effort in scholarship, 25% effort in teaching and mentoring, and 5% effort in service; while the effort distribution agreed upon between the faculty member and the Department Chair can differ from these amounts (with Dean approval), the efforts for teaching and mentoring and for research may not be less than 10%.

The awarding of tenure reflects a deepened commitment between the faculty member and their Department and School. By awarding tenure, the Department and School acknowledge the high quality of faculty member's scholarship, teaching and service, and commit to helping the tenured faculty member sustain and improve upon that work over time. By receiving tenure, the faculty member acknowledges their role as a leader in the research and teaching missions of their Department and School, and pledges to serve in such leadership capacities as appropriate to their position.

Expedited Review for Promotion and Tenure: *Expedited review may occur outside the regular promotion and tenure cycle in the case of newly hired faculty and – in exceptional cases – for existing faculty. Expedited review of new and existing faculty requires a departmental review committee appointed by the department Chair, with the same composition and peer review requirements as that for candidates under consideration in the regular promotion and tenure cycle (see Section 7.1). The recommendation for promotion and tenure by the departmental review committee shall be submitted to the school committee, Dean, Senior Vice President for Health Sciences, president and Board of Visitors for approval.*

3.2 Probationary (Tenure-Eligible) Appointments

Probationary appointments are granted to faculty members with suitable preparation and experience who are appointed in positions identified by the department and/or school as appropriate for tenured faculty.

The maximum period of probationary service of an assistant professor is typically six academic years. An initial appointment at the rank of professor or associate professor may also be a probationary appointment. The maximum period of probationary service is *typically* two years as a professor and

three years as an associate professor. *At the end of such probationary periods, the faculty member must be given either an appointment with tenure or a one-year terminal appointment.*

3.2.1 Alterations of the Typical Probationary Period.

There are some situations in which alterations of the typical probationary period are warranted and may be established at the time of the initial appointment by the mutual agreement between the faculty member and the department Chair and/or Dean. Following are situations where an altered probationary period is warranted and can be established:

1. Prior service at an academic institution at the rank of assistant professor or above warrants a reduced probationary period.
2. Prior service in a discipline unrelated to the present appointment, with the approval of the provost or *Senior Vice President for Health Sciences* warrants a reduced probationary period.
3. Prior service while a candidate for a doctoral or equivalent terminal degree at any institution warrants a reduced probationary period.
4. In exceptional cases, when the special nature of a faculty member's scholarship or special mix of duties warrants an extended probationary period of time to meet the general criteria for tenure.

The agreed upon period of probationary service must be noted in the notice of appointment. Faculty members reviewed for tenure before the end of their full probationary period shall not be subject to any extraordinary requirements and shall be required to meet the same standards required of them at the end of the full probationary period.

In no case shall an altered probationary period exceed 10 years for an assistant professor, five years for an associate professor, and three years for a full professor. Any altered probationary period must receive approval by the Dean and senior vice-president for health sciences for faculty from the medical campus. Academic units must specify and clearly describe the situations for an altered probationary period in their unit P & T document and apply the criteria for the alterations uniformly for all new faculty hires.

At the end of this agreed upon probationary period, the faculty member must be given an appointment with tenure or a one-year terminal appointment.

3.2.2 Extensions of the Initially Agreed Upon Probationary Period

A tenure-eligible faculty member may request an extension of the probationary period where extenuating circumstances are projected to impede significantly normal progress. Such circumstances might include, but are not limited to, childbirth, adoption, care of terminally ill immediate relative, personal trauma, short-term disability as defined by the Virginia Sickness and Disability Program, natural disaster, major accidents, or other circumstances beyond the control of the candidate. Extensions may also be granted for public or appointed university service. Application for extensions must be made through the unit within one year of the onset of the extenuating circumstances.

The faculty member's prior annual reviews shall be considered in making the decision about the extension of the initial probationary period. In no case shall an extended probationary period be granted based solely on lack of progress toward work plan goals.

Written approval of the extension of the probationary period, by the Dean and the Senior Vice President for Health Sciences, is required. All modifications of the normal probationary period shall be entered in writing in the faculty member's personnel file. In no case shall an altered probationary period exceed 10 years for an assistant professor, five years for an associate professor, and three years for a full professor exclusive of extensions for leave or extenuating circumstances described above.

A tenure-eligible faculty member on a probationary appointment may transfer to a term (non-tenure) appointment during enrollment in a University degree program with the concurrence of the senior vice-president for health sciences, the SOPH Dean, the departmental Chair (where the academic personnel action is initiated at the department level), and the individual concerned. This transfer ends any period of probationary service, but the faculty member retains other rights of the tenure-eligible appointment including review, the right to timely notice, and a terminal period as provided in Section 3.0. At the conclusion of the enrollment period, the faculty member can continue on a term appointment or may apply for a tenure-eligible faculty position.

3.2.3 Evaluation of Probation for Tenure-Eligible Faculty

Probationary appointments at the rank of assistant professor shall be reviewed periodically by the academic unit where personnel actions are initiated. The guidelines for each such unit shall specify how this review shall be conducted and the criteria to be used to evaluate progress toward tenure. The guidelines shall specify the frequency of the review(s), how the individual work plan developed in accordance with the Faculty Roles and Rewards Policy shall be incorporated into the review process and how the candidate shall be informed regarding progress toward meeting the standards and criteria for tenure in that unit. The guidelines shall specify the voting rights of the faculty regarding continued probation, terminal reappointment or a recommendation to grant tenure.

The departmental Chair, the reviewing faculty of the department, or the candidate may request a review for a recommendation to grant tenure. A faculty member may be reviewed for tenure once before the normal review occurring at the end of the probationary period. Faculty members reviewed for tenure before the end of their full probationary period shall not be subject to any extraordinary requirements and shall be required to meet the same standards required of them at the end of the maximum probationary period.

A decision to terminate a probationary appointment may be made during any year of the probationary period and need not wait until the end of the normal probationary period.

The same procedures listed above in this Section shall also be applied to probationary appointments at the ranks of associate professor and professor, with the sole exception that guidelines will have separate criteria for each rank.

3.2.4 Linkage

Tenure-eligible assistant professors shall be reviewed in one process, with both promotion and tenure awarded or denied in a single decision.

Tenure-eligible associate professors may be reviewed for tenure alone or for promotion and tenure simultaneously. A decision to deny a promotion does not preclude a decision to award tenure.

3.3 Transition between Tenure Track Positions and Term Appointments.

A tenure-eligible faculty member on a probationary appointment may transfer to a term appointment with the concurrence of the provost or the Senior Vice President for Health Sciences, Dean, departmental Chair where the academic personnel action is initiated, and the individual concerned. This transfer suspends the period of probationary service, but the faculty member retains rights consistent with other term appointment guidelines.

Requests for a change in position shall be addressed to the department Chair. The Chair, if approving, shall endorse requests by letters to the Dean stating the service or services required of term (non-tenure) candidates and the terms of the appointment. Approvals of the request and its terms by the Dean and senior vice-president for health sciences are required. This action is equivalent to resigning the tenure-eligible position.

Transfers from term (non-tenure eligible) appointment to tenure track position must follow the VCU Guidelines for Faculty Transfers (see VCU Guidelines for Faculty Track Transfers). All policies outlined in this document apply to tenure-track positions that transfer from term appointments.

A term (non-tenure) faculty member is eligible to apply for a tenured or probationary (tenure-eligible) appointment upon termination of an existing term (non-tenure) appointment, provided the term faculty member was hired through a national search. A transfer from the term (non-tenure eligible) track to the tenure-eligible track requires a request by the departmental Chair and written consent of the Dean of the School of Population Health and the Senior Vice President for Health Sciences. Once approved, the probationary period begins, and does not include time spent as a term (non-tenure) faculty member. Accomplishments as a term (non-tenure) faculty member should be considered when evaluating the merits for promotion and tenure.

3.4 Continuing Review of Faculty

All tenured, *tenure-eligible*, and term (non-tenure) faculty shall be evaluated annually using criteria established in the guidelines of the school and/or department. Faculty with term (non-tenure) appointments also shall be evaluated annually using the guidelines of the school and/or department, but taking into consideration the special duties assigned to the individual faculty member's term (non-tenure) appointment. The guidelines for all evaluations shall be consistent with and fully incorporate the guidelines in the Faculty Roles and Rewards Policy.

Each Department is responsible for establishing explicit guidelines for the process of conducting faculty review. These guidelines, which form part of the Department's Promotion and Tenure Guidelines, will include the timing of such reviews, the selection and responsibilities of those conducting the review, the criteria by which the faculty assessments will be made, and the manner in which findings and assessments will be communicated to the faculty member. The Department Chair is responsible for ensuring these guidelines are provided to all faculty members and that reviews are conducted according to the departmental guidelines for each faculty member in the department, and also that they are conducted according to these SOPH guidelines.

3.5 Honorary Titles

The president and/or board of visitors may designate the rank of university professor, commonwealth professor, or emeritus professor as deemed appropriate. The voting privileges of faculty holding honorary titles shall be specified in the guidelines of the units where they are appointed.

3.6 Administrative Titles

Faculty may be assigned administrative titles designating administrative responsibilities held in addition to any tenured/tenure-eligible or term (non-tenure) faculty rank concurrently held.

Administrative titles and compensation for administrative responsibilities are held independent of any concurrently held faculty rank. Periodic reviews of a faculty member's performance as an administrator are separate and independent of academic reviews conducted for faculty promotion and/or tenure conducted under this document.

Administrative titles and responsibilities are held for specific terms or at the discretion of a superior administrative officer. Removal from an administrative position does not impair any rights the administrator held as a faculty member.

It is not possible for an administrator to hold tenure in an administrative title, but administrators may earn and hold tenure under concurrently held faculty titles.

3.7 Notice of Appointments

Every faculty appointment or change of status shall be specified in a written notice of appointment issued by or on behalf of the president and/or Board of Visitors to the faculty member.

The notice shall include the following information: rank, academic unit(s) in which the appointment is made, type of appointment (tenured, tenure eligible, term (non-tenure), and adjunct), period of appointment, whether it is part or full time, and salary. If it is a tenure-eligible position, the notice of appointment shall also include the length of the probationary period and the tenure review date.

Except for increases in rank or salary, and except for action expressly authorized by these regulations, changes in any of the items listed in 3.8 are not permitted during the term of an appointment except with the agreement of the faculty member and the Board of Visitors or its authorized delegate.

The amount and distribution of scholarship, teaching and mentoring, and service responsibilities are to be specified in the notice of appointment.

Unless otherwise specified in the contract letter, when the appointment of a full-time tenure-eligible or term (non-tenure) faculty member is not to be renewed, the faculty member shall be notified accordingly to the timeline specified in the [Terms of Conditions of Employment for University and Academic Professionals](#).

3.8 Joint Appointments With Non-University Agencies

A joint appointment for a faculty member with a non-University agency does not in any way fiscally obligate the University for salary or benefits supplied by the non-university agency in the event of a change in the relationship between the faculty member and the non-University agency or between the agency and the University.

Joint appointments with a non-university agency shall require a letter of approval from the university and non-university administrative units involved in the appointment. Such letters shall specify the privileges granted to the faculty member by each unit and the responsibilities and obligations of the faculty member to that unit during the appointment.

Tenured faculty with joint appointments with non-university agencies need no further tenure review if a School of Population Health tenured faculty member employed at a non-university agency becomes a full-time employee of VCU.

4.0 UNIVERSITY PROMOTION AND TENURE POLICY REVIEW COMMITTEE

4.1 Committee Composition

- a. The University Promotion and Tenure Policy Review Committee shall consist of a minimum of one tenured faculty member from each school, none of whom hold administrative titles at the level of departmental Chair or above. No school shall have more than three members serving on the committee at any given time.
- b. To fill a vacancy, the President of Virginia Commonwealth University shall appoint committee members from a list composed of three names jointly recommended by the President of the Faculty Senate and the Dean of the school with the vacancy. The president shall designate the Chair of the committee.
- c. The members of the committee shall serve staggered three-year terms. In case of vacancies, the president shall make appointments to fill uncompleted terms. Persons who have served a complete three-year term are ineligible for reappointment for three years.
- d. Members of the University Promotion and Tenure Policy Review Committee shall not be eligible for concurrent service on a departmental or school promotion and tenure committee while serving on the University Promotion and Tenure Policy Review Committee.

4.2 Committee Duties

The Committee shall:

- a. Formulate and, with the president's approval, issue such general instructions and schedules as may be necessary to coordinate the promotion and tenure process throughout the University.
- b. Receive the written guidelines for promotion and tenure from each unit where academic personnel actions are initiated and from all units that participate in the academic review process in that school. The University Promotion and Tenure Policy Review Committee shall review the guidelines for

clarity and conformity with this document and either approve or propose modification of the guidelines.

- c. Perform an in-depth review of all steps of the promotion and tenure process in each school every third year on a rotating basis. This review shall include at least one member of the Promotion and Tenure Policy Review Committee attending, as an observer, at least one meeting of each step of the review process in that school and examining a random sample of the personnel files. All school reviews shall include a written notification to the faculty of the unit under review and invite oral or written comments regarding the application of the guidelines and/or procedures used in the school for appointment, promotion and tenure. The findings concerning the review of each school's promotion and tenure process shall be reported in writing to the president with copies both to the Dean and to the appointment, promotion and tenure panel of that school.
- d. Report annually to the president and to the faculty on the operation of the promotion and tenure system, including the number of candidates and the outcomes of their candidacy.

5.0 SCHOOL PROMOTION AND TENURE COMMITTEE

5.1 Committee Election and Term of Office

The SOPH shall have a School Promotion and Tenure (PnT) Review Committee will consisting of four (4) faculty members, with one member from each Department in the School of Population Health. Three members will be tenured faculty and one member will be term (non-tenure) faculty, and all will have the rank of Professor or Associate Professor. Members of the School Promotion and Tenure Committee may not serve on a Departmental promotion and tenure peer review committee, nor can they hold an administrative title at the level of departmental Chair or above. The Dean may appoint additional members following election of the Committee.

The Dean's Office will annually prepare a slate of candidates for open positions on the School of Population Health (SOPH) PnT Review Committee. This slate will be submitted to the faculty for approval with write-in candidates allowed. The majority of those voting will constitute approval of the slate. Only full-time faculty members shall be eligible to vote.

Members of the school promotion and tenure review committee shall serve staggered three-year terms. Those who have served three consecutive years are ineligible to serve again for one year. In the event committee vacancies should occur, an interim election shall be held to fill the incomplete term. Each year the committee shall elect a Chairperson from its members.

The SOPH PnT Review Committee will review all recommendations and material submitted by each Departmental Peer Review Committee, including the Chair's letter of evaluation. The SOPH PnT Review Committee may request additional information from the Chair, the Departmental Peer Review Committee, or from the candidate. For each candidate, the SOPH PnT Review Committee will make an independent recommendation based upon the guidelines and criteria set forth by the candidate's Department and the School of Population Health, and submit their recommendation signed by all committee members.

6.0 UNIVERSITY APPEAL COMMITTEE

6.1 Committee Composition

- a. The University Appeal Committee shall consist of at least one tenured faculty member from each school, none of whom hold administrative titles at the level of departmental Chair or above. No school shall have more than three members serving on the committee at any given time.
- b. To fill a vacancy, the President of Virginia Commonwealth University shall appoint each committee member from a list composed of three names jointly recommended by the President of the Faculty Senate and the Dean of that school with the current committee vacancy. The president shall designate the Chair of the committee.
- c. The members of the committee shall serve staggered three-year terms. In case of vacancies, the president shall make appointments to fill uncompleted terms. Persons who have served a complete three-year term are ineligible for reappointment for three years.
- d. Members of the University Appeal Committee shall not be eligible for concurrent service on a departmental or school promotion and tenure committee.

6.2 Committee Duties

The Committee shall review all faculty appeals as specified in 9.2 of this document.

The University Appeal Committee shall hold hearings regarding any proposed dismissal for cause of a tenured faculty member as specified in 11.0 of this document.

6.3 Committee Training

The Office of the Provost shall arrange training for newly appointed members of the Appeals Committee about the appeals process and procedure. Newly appointed members of the Appeals Committee are required to attend this training before participating in committee decisions.

7.0 ACADEMIC REVIEW PROCEDURES FOR PROMOTION AND TENURE FOR TENURED, TENURE-ELIGIBLE AND TERM (NON-TENURE) FACULTY MEMBERS

The promotion and/or tenure review process begins at the department. The candidate, with the departmental Chair, shall develop a file following the guidelines established by the department. The completed file shall be forwarded to the peer review committee to conduct a substantive evaluation of the candidate's record and performance.

Tenure-eligible faculty members shall be reviewed for tenure or both promotion and tenure before the completion of the probationary period. The review process will be initiated by March 1 of the year preceding the review. Faculty requests for promotion review and requests from the department Chair for early review of a faculty member for tenure must be submitted in writing to the Dean no later than May 1 prior to the beginning of the review year.

7.1 Peer Evaluation

The department Chair shall form a peer committee. For tenured and tenure-eligible faculty members, the peer committee shall be composed of tenured faculty only, with a majority from the department. There must also be at least one tenured faculty member from outside the department. For term (non-tenure) faculty, the committee must have a majority of tenured faculty members, including at least one from outside the department, and at least one term (non-tenure) faculty member. In the event that there is an inadequate number of tenured faculty from within the department to meet the criteria, or term (non-tenure) faculty if applicable, substitutions from other departments or schools may be made by the Dean in consultation with the Department Chair.

Departmental Peer Review Committee Composition: *A departmental peer review committee is formed by the Department Chair, with approval from the Dean's Office, to review a faculty member for promotion or tenure or both. The peer review committee will consist of at least five (5) voting members, with at least three faculty members from the department (where possible) and at least two faculty members outside the department or school. Committee members must hold an academic rank the same as or higher than the rank proposed for the candidate. If a member of the peer review committee believes they cannot provide an impartial assessment, they should withdraw immediately from the committee by notifying in writing the Dean's Office, the Department Chair, and the Chair of the Departmental peer review committee.*

The Department Chair will select the Chair of the Departmental Peer Review Committee, and shall notify the candidate in writing of the proposed committee composition. The candidate shall have the right to challenge any member of the committee, with such challenge made in writing to both the Departmental Chair and the Dean's Office within five working days following the date the candidate is notified of the committee composition. If the candidate and the Department Chair cannot resolve the challenge, the school governance committee will adjudicate the challenge and set the final committee roster. Any challenges submitted in writing will be returned to the candidate upon resolution of the challenge. Potential committee members will not be notified until membership has been finalized.

The peer committee shall conduct a substantive evaluation of the candidate's record and performance, including *all accumulated student evaluations*, individualized work plans developed in accordance with the Faculty Roles and Rewards Policy, prior reviews and written internal and external evaluations. Only the peer committee shall solicit and receive external evaluations. External reviewers must be individuals of higher rank than the candidate with expertise in the candidate's field or a related scholarly field, be from outside of VCU, and be an individual who can provide an independent review of the candidate's work. Persons who have co-authored publications, collaborated on research, or been institutional colleagues or academic mentors/advisors of the applicant normally should be excluded from consideration as outside evaluators. Reviewers for external evaluations must be solicited both from persons suggested by the candidate and persons suggested by the committee. The file shall list all persons solicited for external review letters (along with their institution, rank and tenure status), identify each reviewer as either named by the candidate or named by the committee, and identify the relationship of the external reviewer to the candidate. The external evaluator must describe the nature of his/her relationship with the candidate in the review letter. A minimum of 3 external letters must be received for review; for faculty members hired after January 1, 2023, a minimum of 5 external letters must be received for review and the selection of external reviewers should be from Doctoral Universities (Very High Research Activity (R1)). All solicited letters received must be included in the file. Each

department's guidelines shall specify the details of the use of external evaluations in that unit's academic review process. All letters from external evaluators will be confidential unless disclosure is required by law. This policy will be conveyed to external reviewers when letters are solicited. The peer committee shall add a written report to the candidate's file that shall include the rationale for their assessment in each area and the numerical results of a secret ballot for or against recommending promotion and/or tenure and the rationale for the recommendation. The peer committee shall forward the file to the Chair of the department.

Peer Committee Process

- a. *A minimum of three committee meetings will be held: an initial organization and planning meeting, a meeting to discuss evaluations, and final meeting in which to vote on, complete and sign the committee report. The Committee Chair is responsible for scheduling the timing and modality (ex. in-person, online) for each meeting. All proceedings will be confidential and members of the committee will not at any time discuss the proceedings outside the committee meetings. The committee quorum will consist of at least four members at the first two meetings, while all members will attend the final meeting.*
- b. *At the initial organization and planning meeting, the Committee will assign roles, generate a list of potential external reviewers, and discuss University, School and Departmental promotion and tenure guidelines. The Committee Chair will facilitate and assign specific responsibilities for each member. Although the candidate prepares an initial list of potential referees, the Committee will subsequently enlarge this list; no more than 50% of external independent review letters may be from reviewers suggested by the candidate. Specific dates for all subsequent Committee activities will be agreed upon, in adherence with and to ensure compliance with all Departmental, School and University timelines.*
- c. *Following the first meeting and prior to the second meeting, the committee may request additional information from the candidate, and may interview the department Chair (or authorized representative) or other faculty who might have information that would aid the committee in its deliberations. These interviews may be used to obtain information on the areas to be evaluated, but will not be used to obtain opinions on the decision concerning promotion or tenure; those called by the committee will be apprised of this fact. The candidate will be offered the opportunity to appear in person before the final vote, but the candidate will not ask questions of the Committee.*
- d. *The Committee will keep a record of the names of all potential referees, an indication of whether the referee was successfully contacted (including the number attempts at contact), an indication of whether the referee agreed to provide a reference letter, an indication of whether that reference letter was received, and all relevant dates. Also included in these records shall be the type of referee (internal or external) and their relationship to the candidate (colleague or independent). The committee will note that only letters of evaluation from independent external referees are required for the review process; internal colleagues or external collaborators should only provide letters of clarification to assist the committee in understanding and contextualizing the candidate's role and responsibilities.*
- e. *At the evaluation meeting, the Committee will discuss the candidate's merits for promotion (and/or tenure, if applicable), and will discuss the Committee's evaluation letter; while the goal is to complete the evaluation letter at this meeting, some editorial actions may be conducted following this meeting. Member reports on specific areas of evaluation (credentials and experience, research, teaching and mentoring, and service) will be made in writing and presented to and discussed with the entire committee in the second meeting, though this material should be shared with the Committee prior to that meeting.*

- f. *At the final meeting, each committee member will provide, in writing, a secret vote. Once tabulated, the final voting sheet will be signed by each committee member. The Committee will also complete and approve the Committee evaluation letter.*

7.2 Department Chair

After receiving the file from the peer committee, the Chair of the department shall review the file using the department guidelines as a reference, request supplementary material as needed, add a written recommendation and forward the recommendation, the file, and the peer committee report to the SOPH Dean's Office.

7.3 School Promotion and Tenure Committee Evaluation

The school promotion and tenure committee shall receive the file from the Chair of the department and review the file using the guidelines of the school as a reference. The committee shall review prior recommendations and enter a written report of its proceedings including the results of a secret ballot for or against recommending promotion and/or tenure and the rationale for the recommendation. The file shall be forwarded to the Dean of the school.

8.0 ADMINISTRATIVE REVIEW PROCEDURES FOR ACADEMIC PERSONNEL ACTIONS

8.1 The Dean

After receiving a file, the Dean shall review the file and add a recommendation addressing the fiscal and programmatic impact of the proposed academic personnel action on the school and forward the original file to the Senior Vice President for Health Sciences. A copy of the file, complete with all reviews and recommendations, but excluding the letters from the external reviewers, shall be given to the candidate. If the recommendation is not supported by either the peer committee, the Chair of the department, or the school tenure and promotion committee, then the Dean has the option of returning the file, no more than once, to those review bodies that did not support the proposed personnel action and request reconsideration.

When promotion and/or tenure is not recommended, the Dean shall inform the candidate of this decision. At this time the Dean shall also give the candidate a copy of the file, without the letters from the external reviewers unless disclosure of these letters is required by law, and notify the candidate of the right to add a written statement to be included in the file. The candidate has 10 working days after notification by the Dean to add a statement to the file. The Dean shall forward the original file, containing the candidate's written response and all recommendations and letters to the Senior Vice President for Health Sciences.

8.2 The Provost and the Senior Vice President for Health Sciences

Either the provost or the Senior Vice President for Health Sciences shall receive and review files and add a recommendation addressing the University fiscal and long-range planning impact of the proposed academic personnel action. If the administrative review of the senior vice-president for health sciences supports promotion and/or tenure, the senior vice-president for health sciences shall forward the original complete file to the president with that recommendation.

If the administrative review of the senior vice-president for health sciences does not support promotion and/or tenure, they shall inform the candidate of the decision in writing and notify the candidate of his or her right to appeal to the University Appeal Committee. The candidate has 15 working days from notification to appeal the decision of the Senior Vice President for Health Sciences. The candidate initiates an appeal by sending a letter to the University Appeal Committee indicating where and how he/she believes the review process has erred.

9.0 APPEAL PROCESS

9.1 Grounds for Appeal

A decision to deny tenure and/or promotion may be appealed by the candidate only on the following grounds:

1. The proper procedures, as specified in this document, School/Unit Guidelines, and Department Guidelines were not followed.
2. Factually incorrect information was provided by someone other than the candidate, and utilized in the peer review or administrative review process.
3. Inadequate consideration of unit criteria or use of impermissible criteria.

9.2 Appeal Process

The University Appeal Committee shall receive all appeals. The candidate must provide a written request to appeal a decision to deny tenure and/or promotion to the Chair of the Appeal Committee. The request must specify how proper procedures were not followed, and/or the information that is factually incorrect and/or the inadequate consideration of unit criteria or use of impermissible criteria. The Appeal Committee will review the documents in question and decide if grounds for an appeal exist.

If the Appeal Committee decides that adequate grounds for an appeal exist, then it shall contact those review bodies identified in the denial and extend to them the opportunity to respond to the appeal in writing and/or at a scheduled meeting of the Appeal Committee. The Appeal Committee should provide a copy of the appeal to the review bodies and request a written response to the appeal and/or extend an opportunity to attend the hearing to respond to the appeal.

The candidate shall have the right to address the Appeal Committee at a time convenient for both candidate and committee members. Such presentations shall be limited in scope to the specific errors in procedure or judgment alleged in the appeal request. New subject areas, not addressed in the appeal, may not be introduced. The candidate may be accompanied by one nonparticipating advisor. The candidate may suggest to the Appeal Committee the names of additional witnesses to speak at the hearing. The Appeal Committee may decide that it needs limited additional information or testimony and may call appropriate witnesses for a hearing or contact those individuals or review bodies identified in the denial for additional information. It shall confine any such hearings to those questions or issues

specified in the appeal. After reviewing the record and hearing testimony, the University Appeal Committee shall take one of the following actions.

After reviewing the record and hearing testimony, the University Appeal Committee shall take one of the following actions.

- a. Vote to support the appellant. When the Appeal Committee votes to support the appellant, the Committee shall forward the file to the president with a letter describing their recommendation with copies to the appellant, the senior vice-president for health sciences, and the Dean. The letter shall include a rationale for the decision and the number of committee members voting for and against the decision.
- b. Vote to deny the appeal. When the Appeal Committee votes to deny any appeal, the Committee shall forward the file to the president with a letter describing their recommendation with copies to the appellant, the senior vice-president for health sciences, and the Dean. The letter shall include a rationale for the decision and the number of committee members voting for and against the decision. In the event of a tie vote, the appeal is considered denied.
- c. Decide that the candidate's file should be reconsidered at a prior level of review for remand to the Dean for reconsideration, and forward this recommendation to the president. The Appeal Committee may direct the formation of a new peer committee using the processes specified in section 7.1.1 or 7.2.1. When a new peer committee is ordered or when the addition or deletion of material has altered the file, the file shall go through all previous review steps including new internal letters from all review bodies. New material may be added to the file only by this option.

10.0 THE PRESIDENT AND BOARD OF VISITORS

The president is authorized to recommend faculty promotions and conferral of tenure to the Board of Visitors. Promotion and tenure of the faculty are made under the ultimate authority and with the final approval of the Board of Visitors.

When the president does not support the recommendation of a faculty member for promotion and/or tenure, the president shall notify the Board of Visitors, the candidate, the Senior Vice President for Health Sciences, and the Dean of this decision in writing. If the president does not support a recommendation for promotion and/or tenure, no further appeal exists within the University.

If the president recommends a faculty member for promotion and/or tenure to the Board of Visitors and the Board of Visitors does not support the recommendation, the president shall notify the candidate, the Senior Vice President for Health Sciences, and the Dean of this decision in writing. If the Board of Visitors does not support the recommendation of a faculty member for promotion and/or tenure, no further appeals exist within the University.

11.0 PROCEDURE FOR TERMINATION OF EMPLOYMENT OF TENURED FACULTY MEMBERS

11.1 Reasons for Dismissal

Tenure is designed to protect the academic freedom of individual faculty members who have established themselves during probationary periods. Tenured faculty are expected to continue to strive for excellence in all of their academic and scholarly tasks. Adequate reason for dismissal of a tenured faculty member may be established by a demonstration of any of the following:

- a. Neglect, inability or failure to do the normal and expected satisfactory teaching, research and other services within the areas of presumed professional competence.
- b. Professional incompetence which includes failure to continue scholarly development within the individual's discipline and failure to fulfill University assignments.
- c. Moral turpitude.
- d. Violation of academic or professional ethics.
- e. Unprofessional conduct that significantly adversely affects the functioning of the department, school or university.
- f. Violation of the Virginia Commonwealth University Rules and Procedures, as adopted by the Board of Visitors, provided the faculty member has been found guilty of an offense and a penalty for separation has been assessed pursuant to the Rules and Procedures.
- g. *Bona fide* financial emergency in a department, school or reorganization or termination of programs as defined by established University policies and procedures.³

11.2 Post-Tenure Review

In accordance with 3.4 above, all tenured faculty members, including administrative faculty, are evaluated annually, using the established guidelines of their school and/or department. The annual evaluation examines the faculty member's performance in light of his or her expected contribution to the unit as established previously using the university's Roles and Rewards Policy. The annual evaluation is the core of the university's ongoing post-tenure review process, and it should contain a summary rating of excellent, very good, satisfactory, needs improvement or unsatisfactory. On this scale, the appropriate rating for a tenured faculty member whose overall performance in previous years has been "satisfactory" or better, but whose current overall performance is not satisfactory, is "needs improvement." If a faculty member's previous overall performance was rated "needs improvement" and the current overall performance has not met the conditions for improvement, the appropriate rating is "unsatisfactory."

11.2.1 Post-Tenure Review Panel

Post-tenure review is not a process whereby faculty members are being re-tenured. When a tenured faculty member receives one over-all unsatisfactory annual evaluation, a review panel will be appointed in the following way: Within 15 working days of notification of the need for a panel review, the faculty member and the Chair of the department (or the Dean where annual review is conducted at the school level) shall each submit lists of five possible panel members to the school's promotion and tenure

committee, which will appoint the committee. The panel shall consist of five tenured faculty members. When possible, at least two of the panel members should be from the faculty member's department and at least one should be affiliated with another department. The Chair of the school promotion and tenure committee will notify in writing the faculty member, the Chair of the department, and the Dean of the proposed panel. Both the faculty member and the department Chair (or the Dean when annual evaluations are conducted at the school level) shall have the right to challenge any member of the panel for cause. Such challenges must be made in writing to the Chair of the school promotion and tenure committee within 5 working days following notification of the proposed panel. The school promotion and tenure committee shall make the final decision on panel composition.

The University will emphasize faculty development as the reason for carrying out the post-tenure reviews and will commit the resources necessary to carry this out.

***Information for the Review:** The Chair, and/or the Dean, and the faculty member must supply the panel all information pertinent to its task in no more than 20 working days after the appointment of the panel. The information shall include such items as the department's workload policy, any written agreement about the faculty member's role and performance expectations under the university's Roles and Rewards Policy, all annual evaluations and supporting documentation for the period in question, and the faculty member's current vita and statement of activities since the most recent annual evaluation. The Chair, Dean and the faculty member shall have full access to all of the submitted information and an opportunity to comment on or rebut any of the information within 5 working days of being notified that the panel's information is completed. During the panel's deliberations, it has the right to call for testimony from anyone pertinent to the issues, and the Chair and/or Dean and the faculty member shall have full access to whatever testimony is gathered with ample opportunity to comment on or rebut the testimony.*

11.2.2 Assessment of Annual Evaluation

The panel first evaluates the faculty member's performance in light of his or her role in the department. If the panel finds that the faculty member's performance was, in fact, satisfactory during the period in question, it shall issue a report to the Chair and the Dean delineating the reasons for its conclusion. The review is thus concluded. The Dean shall monitor the Chair's annual evaluations of the faculty member for the next two years and the panel's report will be used in the Dean's evaluation of the Chair's performance. Where the annual evaluation is conducted by the Dean, the Dean's annual evaluations of the faculty member will be monitored by the Senior Vice President for Health Sciences and the panel's report will be used by the senior vice president of health sciences in evaluations of the Dean's performance.

11.2.3 Improvement Plan

If the panel concludes that the faculty member's performance was unsatisfactory during the period in question, the panel, in conjunction with the Chair and/or Dean and the faculty member will elaborate a two-year improvement plan intended to aid the faculty member to return to a satisfactory level of performance.

11.2.4 Assessing the Improvement Plan

At the end of the first year of the improvement plan, the panel will either recommend continuation of the plan through the second year, modification of the plan, or if it is evident that no progress has been made toward improvement, it shall recommend to the Chair and/or Dean that they initiate dismissal for cause.

At the end of the two-year plan, the panel will reconvene and again conduct a review of the faculty member's performance, using the provisions of the improvement plan and all information pertinent to the faculty member's performance during the period of the plan. If it finds that the faculty member's performance has been satisfactory, it reports its findings to the Chair and the Dean, and the review is complete. If the panel finds that the faculty member's performance has been unsatisfactory, it shall recommend to the Chair and/or Dean that they initiate proceedings for dismissal based on causes (a) or (b) as detailed in Section 11.1

11.3 Dismissal for Cause Procedures

To initiate the termination of a tenured faculty member for just cause, the Dean shall inform the faculty member and the Senior Vice President for Health Sciences, in writing of the proposed termination, the specific reasons for it and the effective date of termination. The Dean must also inform the faculty member that a request for a hearing of the case by the University Appeal Committee must be initiated within 45 working days. In the absence of such a request, the Dean's action becomes final.

The University Appeal Committee shall begin all requested hearings within 30 working days following receipt of a faculty member's request. At least two-thirds of the Committee must be present at each meeting.

The faculty member shall have the opportunity to attend all meetings of the Committee where evidence is received or witnesses are heard. The faculty member shall have the opportunity to cross-examine witnesses, to present evidence and may be accompanied by one non-participating advisor.

A complete record of the hearing shall be maintained and available to the parties involved. The hearing shall be closed to the public, except upon mutual agreement by the faculty member, the Dean and the senior vice-president for health sciences.

The University Appeal Committee shall submit a completed written report to the Senior Vice President for Health Sciences, within 30 working days after conclusion of the hearings. If two or more Committee members dissent with the majority report, they must submit a written minority report concurrently.

The senior vice-president for health sciences shall review the University Appeal Committee's findings and recommendations and convey a decision with a rationale in writing to the faculty member and to the University Appeal Committee within 10 working days. If the decision is for dismissal, they shall also inform the president.

The president upon written request shall review a decision for dismissal of the faculty member. However, unless the request is made within 15 working days after the Senior Vice President for Health Sciences has rendered a decision, the senior vice-president's decision shall be final and not subject to appeal further or review.

If a review by the president is requested within the 15 working day period, the president shall review the full record of the University Appeal Committee hearing, the Committee's findings and recommendations, and the senior vice-president's decision and rationale before rendering a decision. The president's decision is final and not subject to further review within the University.

11.4 Dismissal for Financial Emergency, Reorganization and Termination of Programs

The termination of a tenured faculty appointment because of financial emergency or reorganization or termination of programs must follow established University policies and procedures. Such procedures shall protect the tenure rights of the individual faculty member and must include due process and faculty participation.

11.5 Compensation

Tenured faculty members who are terminated according to policies and procedures governing financial emergency, reorganization, and termination of programs have the right to receive their contractual university salaries for one year from the date of notification of dismissal, except that compensation ends upon commencement of fulltime employment elsewhere. If the one-year period expires during an academic semester, the senior vice-president for health sciences may extend the employment to the end of the semester. Faculty members receiving compensation under these provisions may be required to perform for the University their regular services or services other than those which they have ordinarily performed so long as these services are professional in nature and appropriate to their educational experience and background.

12.0 PROCEDURES FOR REVIEW AND AMENDMENT OF THIS DOCUMENT

Changes in the Faculty Promotion and Tenure Policies and Procedures may be initiated at the request of the president, the Faculty Senate, the University Council or upon petition by 20% of the tenured and tenure-eligible faculty in the SOPH. Upon such a request, the president shall appoint an *ad hoc* faculty committee to review issues and recommendations regarding appointment, promotion and tenure policies and procedures and, if necessary, to recommend modifications.

Any members of the University community may raise issues or recommend review of these policies and procedures. They should address such requests to the University president who shall refer them to the Faculty Senate and University Council. Any changes in the Faculty Promotion and Tenure Policies and Procedures of Virginia Commonwealth University shall take effect only after review through the University governance system.

Consideration of changes that involve the School of Population Health Guidelines (italicized sections only) may be initiated at the request of the Dean, the SOPH Promotion and Tenure Review Committee, or at least twenty (20) percent of the tenured and tenure-eligible faculty in the SOPH. An ad hoc committee to consider the proposed changes and to make recommendations on these and any other changes will be appointed by the Dean's Office. Any changes require the approval of a majority of the voting faculty (see School of Population Health Bylaws) and the University Promotions and Tenure Review Committee.

Approved by the Board of Visitors: September 24, 1981
Effective Date: September 24, 1981
Revision approved by Board of Visitors: January 17, 1985 Revision approved by
Board of Visitors: November 19, 1987
Effective Date: July 1, 1988.
Revision approved by Board of Visitors: January 20, 1993
Effective Date: July 1, 1993
Revision approved by Board of Visitors: September 19, 1996
Effective Date: July 1, 1997
Revision approved by University Promotion and Tenure Policy Review Committee
Effective Date: March 29, 2004
Revision approved by University Promotion and Tenure Policy
Review Committee
Effective Date: April 16, 2009
Revision approved by University Promotion and Tenure Policy
Review Committee
Effective Date: July 1, 2014

¹ The term ‘school’ will be used throughout the document to refer to a school, college, or major academic unit such as the library or Life Sciences.

² Faculty Roles and Rewards Policy, approved by the Board of Visitors, November 1993.

³Procedures for Declaration of Financial Emergency and Consequent Reduction, Reorganization, or Elimination of Programs Requiring Termination of Faculty Members, approved by the Board of Visitors, July 21, 1983.

References

Glassick CE. Boyer’s expanded definitions of scholarship, the standards for assessing scholarship, and the elusiveness of the scholarship of teaching. Acad Med.2000 Sep; 75(9):877-80.

Aday LA, Quill BE. A framework for assessing practice-oriented scholarship in schools of public health. J Public Health Manage Pract. 200 Jan;6(1):38-46.

Shapiro ED, Coleman DL. The scholarship of application. Acad Med. 2000 Sep;75(9):895-8.

APPENDIX I

Timetable for Promotion and Tenure Decision Activities

Dean notifies Department Chair of impending tenure or promotion review on or before March 1

Department Chair provides (i) confirmed or amended list of faculty members to be reviewed and (ii) Departmental Tenure and/or Promotion Committee constituted on or before April 1

Dean approval of committees returned to departments on or before May 1

Supporting documents due to Departmental Committee on or before June 1

Departmental committees should solicit requests for external letters of reference on or before July 1

Draft report of departmental committee should be drafted on or before October 1

Final report of the departmental committee due to department Chair on or before October 15

Final report of departmental committee and Chair letter of support submitted to the Dean's Office on or before November 1

Report of the School of Population Health Promotion and Tenure Committee submitted to the Dean's Office on or before January 15

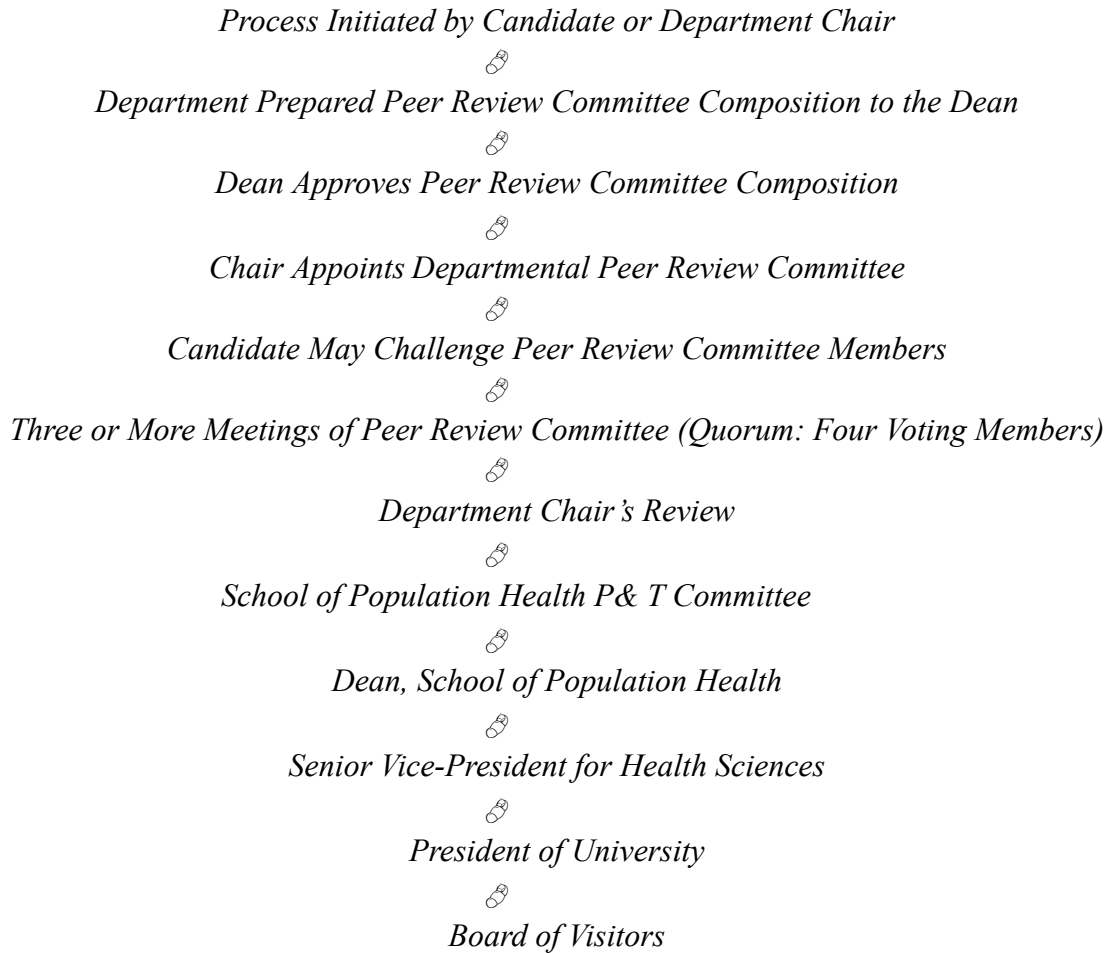
File, with Dean's letter, submitted to Senior Vice President's Office on or before February 1

Reviewed and Approved by May VCU Board of Visitors to be effective July 1

Candidates are notified by a letter from the President to their home address after the May VCU BOV meeting

APPENDIX II

Flow Chart for Promotion and Tenure Activities



APPENDIX III

Tables with Examples of Accomplishments to be Considered for Promotion in Each Category

These lists are not intended to be all inclusive. The number and types of contributions should be weighted by the faculty member's mix of duties.

Table 1 Research and Scholarship: examples of accomplishments for consideration of promotion

<i>Position</i>	<i>Satisfactory</i>	<i>Very Good</i>	<i>Excellent</i>
<i>Assistant Professor</i>	<ul style="list-style-type: none"> -Independence from training mentor -Author of manuscripts of original research submitted for peer-review -Author of non-peer reviewed documents pending release -Co-author of posters or oral presentations at national meetings -Pending applications to fund sufficient levels of support to conduct original research 	<ul style="list-style-type: none"> -Author of peer-reviewed publications of original research -Author of non-peer reviewed documents -Author of posters or oral presentations at national meetings -Awarded projects with efforts to conduct original research 	<ul style="list-style-type: none"> -Author of peer-reviewed publications of high-impact original research -Author of non-peer reviewed high-impact documents -Author of award-winning posters or oral presentations at national meetings -Externally-awarded projects with sufficient efforts to conduct original research
<i>Associate Professor (Criteria for Assistant Professor plus the following)</i>		<ul style="list-style-type: none"> -Research mentor of staff and students 	<ul style="list-style-type: none"> -Research mentor of and providing funding for staff and students
<i>Professor (Criteria for Associate Professor plus the following)</i>		<ul style="list-style-type: none"> -Research mentor of other faculty 	<ul style="list-style-type: none"> -Research mentor of and providing funding for other faculty

**This list is not intended to be exhaust. The number, type and quality of contributions should be (i) further specified in the candidate's Departmental PnT Guidelines, and (ii) weighted by the faculty member's particular effort allocation.*

<i>Table 2 Teaching and Mentoring: examples of accomplishments for consideration of promotion</i>			
<i>Position</i>	<i>Satisfactory</i>	<i>Very Good</i>	<i>Excellent</i>
<i>Assistant Professor</i>	<ul style="list-style-type: none"> -Teaching didactic courses as directed -Serving on capstone, thesis or dissertation committees 	<ul style="list-style-type: none"> -Teaching didactic courses with positive evaluations -Chairing capstone, thesis or dissertation committees 	<ul style="list-style-type: none"> -Teaching didactic courses with excellent evaluations -Chairing capstone, thesis or dissertation committees that lead to disseminatable material -Departmental teaching or mentoring award
<i>Associate Professor (Criteria for Assistant Professor plus the following)</i>	<ul style="list-style-type: none"> -Offering seminars or public lectures -Co-author of textbook chapter -Mentee apply for training/fellowship award 	<ul style="list-style-type: none"> -Offering or creating new didactic courses -Author of a textbook chapter -Mentee serves on training grant 	<ul style="list-style-type: none"> -Offering or creating new didactic courses that become formally incorporated into a training program -Author of a textbook -Mentee awarded externally-funded training/fellowship award -School-wide teaching or mentoring award
<i>Professor (Criteria for Associate Professor plus the following)</i>	<ul style="list-style-type: none"> -Teaching material and tools made publicly available 	<ul style="list-style-type: none"> -Teaching material and tools presented at national conferences -Pending training grant as Principal Investigator 	<ul style="list-style-type: none"> -Teaching material and tools published in peer-reviewed journal -Awarded training grant as Principal Investigator -University teaching or mentoring award

**This list is not intended to be exhaust. The number, type and quality of contributions should be (i) further specified in the candidate's Departmental PnT Guidelines, and (ii) weighted by the faculty member's particular effort allocation.*

<i>Table 3 Service: examples of accomplishments for consideration of promotion</i>			
<i>Position</i>	<i>Satisfactory</i>	<i>Very Good</i>	<i>Excellent</i>
<i>Assistant Professor</i>	-Member of departmental committee -Review manuscripts for peer review journal		
<i>Associate Professor (Criteria for Assistant Professor plus the following)</i>		-Member of school committee -Committee member of national research or education organization	-Chair of departmental committee -Member of grant study section -Associate Editor for peer review journal
<i>Professor (Criteria for Associate Professor plus the following)</i>		-Member of university committee -Committee chair of national research or education organization	-Chair of university committee -Chair of grant study section -Editor for peer review journal

**This list is not intended to be exhaust. The number, type and quality of contributions should be (i) further specified in the candidate's Departmental PnT Guidelines, and (ii) weighted by the faculty member's particular effort allocation.*