

## Basic Science Faculty Appointment, Promotion, and Separation

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### Introduction

There are two categories of School of Medicine faculty: the **Basic Science Faculty** and the **Clinical Faculty**. This document is concerned with appointment and promotion policies with regard to the **Basic Science Faculty**.

The personnel policies and practices for all faculty appointments derive from a variety of sources, including the Bylaws of the Faculty, policies adopted by the Trustees of the University, and policies adopted by the University and/or the School of Medicine. Faculty members who are employed by Tufts University have benefits, rights, and obligations apart from those faculty members who are not employees of the University.

In general, faculty members are employees of the University when the faculty member's primary appointment is in one of the seven Basic Science departments--Anatomy and Cellular Biology, Biochemistry, Molecular Biology and Microbiology, Neuroscience, Pathology, Pharmacology and Experimental Therapeutics, and Physiology--or in the clinical department of Family Medicine and Community Health (certain faculty, see **Clinical Faculty Appointment, Promotion, and Separation; the Special Case of the Department of Family Medicine and Community Health**) (links).

### Guidelines for Appointment, Promotion and Tenure in the Basic Science Faculty

Approved and adopted by the Basic Science Faculty Appointment, Promotion and Tenure Committee, 4/29/99; effective: 7/1/00

### Criteria for Appointment and Promotion:

The role of the basic science faculty is to participate in the teaching programs of the professional schools, to direct graduate-training programs, to serve as a source of expertise within the Tufts community, and to conduct original research. A well-rounded faculty member should be

proficient in these various aspects, although individuals may exhibit varying strength in each of these functions, and the overall contribution of the candidate to the basic goals of the University should be the overriding consideration.

**TEACHING:** The major determinant should be teaching effectiveness. Individual teaching skills should include fund of information, ability to communicate, and dedication to the educational process. Participation in course planning and evaluation, and use of innovative educational techniques are also important.

**RESEARCH:** The candidate should demonstrate independence, creativity, and ability to identify important problems. The significance and quality of the published work and the impact of the work on the candidate's field of study should be major considerations.

**RESEARCH TRAINING:** Guidance in the development of competent scientists is an important function of an institution of higher learning. Candidates should be effective in the training of Ph.D. candidates, postdoctoral fellows, and/or undergraduate students.

**OTHER SCHOLARLY ACTIVITIES:** These should constitute an important criterion for appointment and promotion to the rank of **full professor**. Examples of scholarly activities are: membership on university and national scientific committees, membership on editorial boards, participation in research peer review activities, honors, publication of review articles and books, lectureships, and authorship of scientific book reviews.

**ADMINISTRATIVE ACTIVITIES:** Significant contributions to the operation of the department or school through participation in administrative functions should be taken into consideration when evaluating a candidate for promotion.

#### **Documentation of Criteria**

Adopted by the Basic Science Appointment , Promotion and Tenure Committee – January 10, 1983

**RESEARCH AND SCHOLARSHIP:** Evidence of the quality of the published work, of its novelty, and its impact should be sought from established scientists in the candidate's field of study. The independence of the candidate as an investigator should be assessed, using as indications the fact that he/she is directing his/her own laboratory and is major author on important publications. Other information concerning the quality of journals in which publications have appeared and the candidate's productivity should be gathered and assessed.

**TEACHING:** Teaching effectiveness is difficult to assess in an objective fashion, particularly in the professional school courses where there is limited opportunity to determine the extent of knowledge acquired by the students. Evaluation of the quality of the teaching by colleagues on the faculty should be an important factor. Evaluations by present and former students also should be taken into consideration. Novel or particularly effective teaching materials and methods developed by the candidate should be evaluated.

**RESEARCH TRAINING:** The achievements of former trainees, both predoctoral and postdoctoral, should provide a measure of the candidate's proficiency in this area. The success of training programs organized by the candidate should also be an important consideration. As in the case of teaching, evaluations by colleagues, students and postdoctoral fellows should be sought.

## **Criteria for Promotion to Certain Ranks**

**ASSOCIATE PROFESSOR:** Promotion to the rank of Associate Professor should be reserved for candidates who have demonstrated a high degree of proficiency in research and teaching, who have made a significant contribution to their fields, and who show potential for continued development as research scientists and teachers. The candidate should also have demonstrated ability to conduct research training and should be an independent investigator.

**PROFESSOR:** Promotion to the rank of Professor should be reserved for candidates who, in addition to satisfying the criteria for Associate Professor, are recognized leaders in their fields of research. They should be known internationally, as evidenced, for example, by participation at international meetings as invited speakers and by authorship of review articles. They should have a consistent record of research accomplishments. Their records should also show that they have the ability to broaden their research interests and to remain at the forefront of research in their fields. They should be scholars and be effective in the training of young scientists.

## **Criteria for Granting Tenure**

Tenure reflects a long-term commitment by the University to the academic freedom and security of faculty members. It should be granted to individuals who are likely to maintain a high level of excellence for an extended period. A successful candidate should show a sustained level of substantial contributions, and have the potential for long-range, continuous productivity in an area of biological importance. The candidates should also be recognized as experts in their fields. Their teaching programs should have developed to the point that they have recognized areas of expertise. While national or international recognition of the candidate's research or scholarly activities is not essential, it could be taken as a reasonable indicator of the scope of their accomplishments.

## **Tenure and Promotion Policy**

A major purpose of evaluating personnel for tenure is, over the long term, to secure and maintain the best possible faculty for each of the departments in the University. The administration and faculties shall continue to develop and maintain procedures and criteria for appointments with tenure that will insure a comprehensive and critical assessment of each candidate.

In making a tenure decision, the most important factor is the quality of the candidate including the following aspects, among others: quality of mind, intellectual force, teaching effectiveness, scholarship, and contributions to department objectives and those of the whole University. Evaluation of such quality shall include a comparison of the candidate with others in his or her field, whether or not at Tufts. In order to insure the flexibility required to meet changing conditions and needs of the University, consideration should also be given to the ratio of tenured to non-tenured faculty in his or her department, provided however that such ratio shall not preclude the granting of tenure to exceptionally qualified persons.

Details on the tenure policy can be found in the document **Policy on Academic Freedom, Tenure, and Retirement of the Board of Trustees of Tufts University** ([link](#)); a summary for the School of Medicine is provided below.

## **Eligibility for Tenure**

In order to be eligible for tenure, a candidate must:

1. Be employed by the University full-time as a faculty member in a Basic Science Department;
2. Have the unmodified rank of Professor, Associate Professor, or Assistant Professor.

### **Probationary Period and Prior Credit**

A faculty member may apply to be reviewed for tenure and promotion at any time. Normally, during the ninth year of the probationary period, a full-time faculty member either makes application or formally, in writing, withdraws from consideration. If the recommendation is against tenure, the faculty member will be notified in writing and a one-year terminal contract will be issued.

The probationary period is defined as ten years of full-time service. However, it may be extended for a period not exceeding three years for a faculty member who at the time of employment did not have his or her Ph.D. or its equivalent, if the University and the faculty member agree in writing at the time of employment to such an extension. In certain cases involving leave of absence, the probationary period may also be extended.

The School of Medicine does not necessarily grant credit, as part of the probationary period, for full-time service as a faculty member in other institutions of higher education. Individuals with prior service, however, may request consideration for tenure before completing nine years of full-time service at Tufts in a tenure track position.

### **Procedures Established for the Basic Science Faculty Appointment, Promotion, and Tenure Committee**

The Board of Trustees of Tufts University has directed that “the administration and faculties shall continue to develop and maintain procedures and criteria for appointments with tenure which will ensure a comprehensive and critical assessment of each candidate.”

A primary appointment in a basic science department can be on one of the three tracks:

The **tenure track** is meant for faculty members who participate fully in the teaching, research, and administrative activities of their departments and school. Appointments on the tenure track are for at least one year and are considered to be probationary, until such time as tenure is granted, after which appointments are without limit of time. In the Tufts University basic science departments, a faculty member may remain on the tenure track, but without tenure, for no more than ten years. Since one year’s notice is required before dismissal, a decision regarding tenure must be made before the end of that faculty member’s ninth year in probationary status.

The **research track** is designed for faculty members who devote all or nearly all of their efforts to research. Such faculty members may also participate in teaching, but teaching is limited to a maximum of one major course per semester. Appointments on the research track are made for up to three years at the Research Assistant Professor level or five years at the Research Associate Professor or Research Professor levels, but are subject to termination at any time that external support terminates or is reduced to a level insufficient to provide full compensation. These appointments are renewable. Faculty members in the research track are expected to support their own salaries by obtaining research

grants or contracts. Their occupancy of research and office space is usually contingent on continued support from outside sources.

The **clinical track in Pathology** accommodates clinically-oriented pathologists who are primarily involved in teaching and diagnostic services. Titles of faculty on this track are Assistant Professor of Pathology (clinical), Associate Professor of Pathology (clinical), and Professor of Pathology (clinical). Appointments at or promotions to the ranks of Associate Professor and Professor of the clinical track in Pathology are evaluated by the Medical School's Clinical Faculty Appointment and Promotion Committee.

Appointments at or promotions to the ranks of Associate Professor and Professor on both the tenure track and the research track and proposals for granting tenure must be evaluated by the Basic Science Faculty Appointment, Promotion, and Tenure Committee of the School of Medicine ("AP&T Committee") and require approval by the Dean of the School of Medicine, and by the Provost. Appointments at or promotions to the rank of Professor and all appointments involving the granting of tenure must also be approved by the President and the Board of Trustees of the University.

Secondary appointments in the basic science departments at the Associate Professor or Professor levels also require review by the AP&T Committee and are described under **Joint and Secondary Appointments** ([link](#)).

The following is the procedure for filing and consideration of an application for appointment, promotion, or tenure. For new appointments above the instructor level, the procedure follows the completion of the affirmative action process and the approval of an offer letter by the Dean of the Medical School. Any such offer at the level of associate professor or full professor, or with tenure, must state that the appointment is subject to review by the Basic Science Faculty Appointment, Promotion, and Tenure Committee of the School of Medicine ("AP&T Committee") and approval of the University Administration. As used in these procedures, the term "promotion" refers to appointment, promotion, or tenure.

1. The AP&T Committee recommends that the department chair meet annually with each faculty member in the department. This meeting should include, where appropriate, a review of the faculty member's status in order to determine the appropriate time to request promotion or promotion with tenure.
2. The department chair shall bring the proposed appointment, promotion, or the rank and tenure status to which promotion is proposed. Voting by the departmental faculty is by open or closed, written ballot, which ballots will be maintained in a sealed envelope by the Office of Faculty Affairs.
3. If the department chair supports the proposed promotion, the department chair initiates the formal process by submitting the chair's letter of nomination to the Dean, not later than **October 1** of the academic year in which the candidate seeks promotion, and by assembling the necessary documentation in collaboration with the candidate. It is the candidate's obligation to provide the department chair with an updated CV (which must have a description of current research and funding), teaching portfolio, and copies of the candidate's most important publications. The department chair's letter of nomination to the Dean shall convey the vote of the faculty on the proposed promotion. In addition, in cases involving a decision on tenure, the department chair shall request sealed letter (s) from all

tenure departmental faculty holding at least the rank to which the promotion is proposed. These letters shall become part of the candidate's dossier.

4. The department chair's letter of nomination to the Dean must describe clearly, in detail, the candidate's achievements in the areas of research and scholarship, teaching, and service to the University. The department chair should state why, based upon these achievements, the candidate merits appointment, promotion or promotion with tenure. The department chair's letter must also set forth a clear statement of the value of the candidate's specific contributions within his or her field and department. The department chair's letter should comment specifically on the following:
  - The candidate's specific field of expertise, current research, and future research interests
  - Individual or collaborative investigative efforts
  - The specifics of grants received or program support
  - Contributions as a teacher and mentor (to students, post-docs and other faculty)
  - Publications (indicating specific research findings and accomplishments, and indicating refereed and invited papers, book chapters, books)
  - Administrative responsibilities and service
  - Reputation within field (including national or international meetings and societies, lectures, and stature in field)
5. If the department chair does not support the nomination, the candidate may propose herself or himself for promotion. In such a case, the department chair must still write a letter to the Dean concerning the promotion, applying the criteria referred to in paragraph 4 above. In addition, a senior faculty member who supports such a candidate may submit a letter of nomination to the Dean and the AP&T Committee, applying the criteria referred to in paragraph 4 above.
6. The dossier must include a Teaching Portfolio in the format approved by the AP &T Committee. Objective evaluations of course instruction should be provided, if available. The candidate shall provide the department chairman with a list of students, former students, observing faculty, or other appropriate persons to contact for assessments of the candidate's teaching.
7. The department chair shall solicit the letters of recommendation concerning the candidate from outside experts, students, former students (where appropriate), and other faculty members. All letters of evaluation shall be solicited no later than **September 1**. All letter writers shall be instructed to send their letters of recommendation to the Dean, Tufts University School of Medicine, c/o Chair, Basic Science Faculty, Appointment, Promotion, and Tenure Committee, Office of Faculty Affairs, Tufts University School of Medicine, 136 Harrison Avenue, Boston, MA 02111. The department chair and candidate shall collaborate on the list of persons to be solicited to write letters. The department chair shall

maintain a copy of the list of such persons and copies of the letters from the chair to such persons.

8. In deciding the identities of outside letter writers, the department chair and candidate should include people who understand and can assess the quality of the candidate's accomplishments, reputation in his or her field, and worthiness for promotion. It is also important to include disinterested people whose opinions are not influenced by a significant present or past relationship, such as mentor, student, collaborator, or close associate of the candidate.

8a. The following additions to the guidelines for outside letters of recommendation have been adopted and are effective 7/1/02. The dossier of a candidate for promotion to associate or full professor must include a minimum of fifteen (15) letters of recommendation from individuals outside of Tufts University and its affiliated institutions (e.g., hospitals). These individuals should have an academic appointment (or an equivalent title) either at, or above, the level for which the candidate is being proposed. In addition, at least eight (8) of these letters must come from individuals with whom the candidate has neither directly collaborated nor trained. Most should be from individuals who have expertise in the candidate's area of research, and at least some should be noted experts.

A list of individuals capable of fulfilling the above criteria should be generated by the chair of the nominating department (in consultation with the candidate). The department chair should send a letter to each individual on the list requesting an evaluation of the candidate. The letter should also request that the reviewer state their past and present association, if any, with the candidate, and should also state that the letter of recommendation be sent directly to the Dean's office. The department chair should also provide the Dean's office with a list of the individuals from which letters of recommendation have been requested.

For each evaluator, the list must include the following information: name of evaluator; evaluator's academic or business title; name of institution; address of institution; phone number; e-mail address or fax; and a short description of the credentials of the evaluator (this has been requested by the President, who has the final decision whether to forward the promotion to the Board of Trustees).

9. Letters to outside experts shall solicit recommendations, and should state the precise promotion which the candidate is seeking (e.g., promotion to Associate professor with tenure in the Department of Biochemistry), should ask the letter writer to state whether he or she would recommend the candidate for promotion or tenure at his or her own institution, should seek evaluation of the candidate's research and publications, should seek an assessment of the candidate's national and/or international stature and reputation in his or her field, should ask the letter writer to state the letter writer's relationship, if any, to the candidate, and should set a **deadline of October 1**, by which the letters of evaluation should be returned to the Office of Faculty Affairs. The department chair shall enclose copies of the candidate's CV.
10. All outside letters shall be available for review by the department chair at the **Office of Faculty Affairs**. All internal letters are confidential.

11. On occasion, persons submit unsolicited letters. These unsolicited letters will be included in the candidate's dossier and will be given such weight as the subcommittee and AP&T Committee shall determine. The identities of all letter writers, including those who write unsolicited letters, must be disclosed to the candidate and the department chair.
12. All dossiers shall be completed and provided to the Office of Faculty Affairs by **November 1**. Upon receipt of the complete dossier, the chair of the AP&T Committee appoints two members of the AP & T Committee to be members of the subcommittee, one of whom he appoints as Chair of the subcommittee. These two subcommittee members then select a third member. The third member may be from outside the University, but must have at least the rank sought by the candidate. At least one member of the subcommittee must be knowledgeable in the candidate's field, in the opinion of the subcommittee chair. No member of the candidate's primary department may be a member of the subcommittee. **The subcommittee shall be anonymous.**
13. All subcommittee members shall review the dossier, and the standards applicable to the proposed promotion. The subcommittee may, in its discretion, seek other information. The subcommittee shall report its written findings and recommendation to the Chair of the AP&T Committee. All dossiers shall be ready for full AP&T Committee action by **January 1**.
14. After the complete dossier is provided to the AP&T Committee, any new information may be submitted only in writing to the Office of Faculty Affairs, and shall be added to the dossier.
15. After the AP&T Committee has deliberated and voted, the Chair of the AP&T Committee shall report to the Dean of the Medical School, in writing, the AP&T Committee's evaluation and recommendation. The AP&T Chair's letter to the Dean shall set forth the action taken, the candidate's background, the composition of the subcommittee, the subcommittee's recommendation, a summary of the discussion concerning the candidate at the AP&T Committee meeting, and the reasons for the AP&T Committee's action. The AP&T Chair shall notify the department chair of the AP&T Committee's recommendation.
16. Tenure and full professor cases must be forwarded to the Provost's Office by **March 1**, in order to permit action by the Administration and forwarding to the Board of Trustees for its spring meeting.
17. The department chair shall notify the candidate of the AP&T Committee's recommendation.

### **Working Rules of the AP&T Committee**

Approved and Adopted by the AP&T Committee on April 29, 1999

The AP&T Committee has adopted the following working rules:

1. Quorum – 60% for business, 75% for voting on candidate's proposed promotion, tenure or appointment.

2. All voting by the AP&T Committee on appointments, promotions or tenure will be by secret ballot. The Office of Faculty Affairs will be responsible for collecting and maintaining the ballots in a sealed envelope.
3. Members of the same department as the candidate will be allowed to vote, unless they declare themselves ineligible.
4. Votes may be either yes, no, or abstain.
5. Only those AP&T members present at the meeting may cast a vote. There will be no proxies.
6. The Chair of the AP&T Committee may vote on the same basis as other members of the Committee.
7. An affirmative or negative vote will be by simple majority.
8. The committee shall invite the candidate's department chair to attend the meeting at which the candidate's case is to be considered for the purpose of briefly presenting the candidate's credentials and answering specific questions from the committee. The department chair may not attend the meeting during the deliberations or vote on the candidate's case.
9. Subcommittees may not directly request information from the department chair during the consideration of a proposed promotion or appointment. Any additional written information which is requested by the subcommittee or full committee should be done through the AP&T Chair.

### **Teaching Portfolio of Basic Science Faculty**

Approved and adopted by the Basic Science Faculty Appointment, Promotion and Tenure Committee, 4/29/99

The purpose of the teaching portfolio is to provide a method of documenting the contribution to teaching at Tufts University by each faculty member being considered for promotion in a Basic Science Department in the School of Medicine.

All faculty members being considered for academic promotion or tenure must submit a teaching portfolio.

### **Required Format**

1. **TEACHING ROLE AND RESPONSIBILITIES**: Briefly describe your role in teaching with the University. This might include such areas as course development, material preparation, faculty development, curricular affairs, training grant preparation and participation. Details of your research-based and classroom-based teaching should be included in #2 and #3, below.
2. **RESEARCH-BASED TEACHING**: This should include any postdoctoral, predoctoral, professional school (Medical, Veterinary, Dental), or undergraduate students you have mentored in your laboratory. Include any other research teaching you have undertaken, (for

example, thesis advisory committees, graduate student “rotations”). Include names and dates. Please include the current position of any student that completed an advanced research degree under your supervision.

3. **CLASSROOM-BASED TEACHING**: This should include any lectures, small group instruction (for example, Problem Solving Sessions, Problem Based Learning, Journal Clubs), and course-related laboratory instruction. Include course name, number of students, number of contact hours, dates, and school (Medical, Dental, Veterinary, Sackler). Where appropriate, indicate your role as course director or in exam preparation/grading, etc.
4. **TEACHING EVALUATIONS**: Attach student evaluation forms of each course you have taught for the past three years. Indicate the individuals (student and faculty) who have been asked to write letters of evaluation pertaining to your teaching responsibilities.

### **Research Faculty Appointments**

Voted by full Board of Trustees May 30, 1981

Amended by full Board of Trustees February 24, 1990

It is requested that the University be authorized to make multiple-year full-time faculty appointments based on external funding – appointments which would be designated as "research faculty" and would not be eligible for tenure.

Such faculty members would be appointed following existing procedures for renewable fixed terms, with a safety clause if their external support disappears; would carry titles which reflect their research orientation; and would be evaluated for rank in their respective schools or colleges on appropriate criteria.

Inasmuch as this category of appointment represents a change from the appointments covered by the trustee policy on Academic Freedom, Tenure, and Retirement, trustee review and approval of this change is required.

### **Reason for the request**

In the decade from 1969 through 1979, the share of University income covered through sponsored programs dropped from 45% to 25%, while the University's dependence on tuition rose from 35% to 51%. In the next decade, it will not be as easy as it has been to increase tuition income through larger enrollments or increased rates. One of the few important ways in which the University can strengthen its faculty and lessen its overall dependence on tuition is to augment its research activities.

Competition for research funds is sharp. The ability to recruit (or retain) highly qualified individuals who can work on such activities on a substantially full-time basis will enhance Tufts' likelihood of attracting increased support. To attract and retain such individuals involves giving them some sort of appropriate faculty appointment.

Research faculty members can enrich the University's teaching programs in significant ways. Such persons may be given responsibility for one major course a semester, or they could lecture in areas of their specialty, supervise students at various levels in related research projects, and participate

in seminars, conferences and similar activities. Indirectly, they also benefit the students by their enrichment of the discipline and their collegueship in the departments they serve.

There is a risk with such appointments: research funding patterns are difficult to predict. For this reason, it is suggested that these research appointments not be tenure-eligible. Further, there should be a "safety clause" in each contract which, at the discretion of the responsible dean, allows time for the individual to attract renewed funding but which prevents him or her from being a long-term drag on the budget of the department or school involved.

Specific provisions of the full-time non-tenure research faculty appointments:

a) Areas in which used

Such appointments may be made in any department in any school or college, where so permitted by the appropriate bylaws.

b) Ranks, titles, terms.

Proposed ranks and titles are as indicated, with terms not to exceed those stated:

- Research Professor five-year term
- Assistant Research Professor five-year term
- Assistant Research Professor three-year term

These terms are subject to termination as provided in (e) below. At the discretion of the University, the appointment may be renewed until the individual reaches normal retirement age.

c) Approvals required for appointment.

The appointment process for full-time research faculty members would be the same as that now used for all full-time faculty members not involving tenure, as follows:

- Research Professor recommendation by Dean, approval by Provost and President, final approval by EPC (now AA)
- Associate Research Professor recommended by Dean
- Assistant Research Professor final approval by Provost

d) Notice of non-reappointment.

The provisions of the trustee policy on Academic Freedom, Tenure, and Retirement with respect to non-reappointment will apply to research faculty members, except as provided below.

e) Termination during the appointment term.

In each research faculty member's appointment letter, it will be specified that the individual is expected to obtain his or her full compensation and associated indirect costs through external grant or contract support. The appointment terminates at any time the full external support terminates or is reduced to a level that is insufficient to provide full compensation and associated indirect costs.

However, the dean of the school involved may, with the concurrence of the Provost and the availability of budgeted funds for the purpose, carry the individual whose support is reduced or

terminated at full salary for an additional period of up to twelve months, to allow time to reestablish funding. The School in which the individual is appointed is responsible for the unsupported salary during the additional period.

Subject to the availability of funds budgeted for this purpose by the school involved, an unsupported period of up to one year may be provided at the outset of an individual's first such research appointment, to enable him or her to attract initial support. It is hoped and expected that the majority of such research appointments will be for individuals who will bring grant support with them.

#### f) Evaluation

Each dean seeking to appoint a research faculty member will recommend initial rank, drawing on such faculty committee involvement as is provided for in the bylaws of the School concerned. Research faculty members will normally be evaluated for promotion only at the time of reappointment; evaluations will be carried on by the dean and the appropriate faculty committee.

The faculty evaluating committee will take into account appropriate differences in the character of professional expertise expected of full-time research faculty members and of full-time tenure-track faculty members.

It is anticipated that normal professional development might make a research faculty member eligible for promotion to the Associate Research Professor rank at about the same time that tenure-track faculty members are achieving tenured status. If a research faculty member fails to demonstrate such progress, the department chairman, the faculty evaluating committee and the dean should reevaluate the individual's status as a faculty member.

#### g) Definition of full-timeness.

Full-time research faculty members are expected to dedicate their full professional commitment to research (and associated educational activities) in their department and school, under terms of the grant or contract which provides their support.

#### h) Switching between tracks

A faculty member's letter of appointment will state clearly whether he or she is on a tenure track or on a research (non-tenure-eligible track).

A faculty member on the research track will be eligible to apply for and be considered for an opening on the tenure track. If selected for that opening, the faculty member would "switch"(i.e., receive a new appointment) to the tenure track. None of the time served at the University on the research track will count toward the tenure probationary period, but the individual could, of course, request consideration for tenure at any time.

A person appointed to the tenure track could not switch to a research track at any time. If a person is considered for tenure and tenure is not granted, he or she will not be eligible for subsequent employment at the University on a research faculty appointment.

### **Joint and Secondary Appointments**

A **joint appointment** is a major (perhaps equal) fiscal and time commitment in more than one Tufts department, whereas a secondary appointment may be a meaningful relationship but not major commitment to another place within Tufts.

An individual may hold only one **primary** appointment at Tufts, but may have more than one other appointment, traditionally referred to as a **secondary** appointment. In order to clarify the meaning of titles, a University-wide Joint Appointments Committee met in academic year 1988 and recommended guidelines to define such appointments.

Secondary appointments in a Basic Science department at the same level as the primary appointments at the rank of Associate Professor or Professor must be approved by the Basic Science Faculty Appointment, Promotion, and Tenure Committee as well as the Dean and the Provost.

Requests for secondary appointments or promotions at the same level as the primary appointment must be submitted to the Office of the Dean of the School of Medicine, with the following documentation:

- A **letter of proposal** from the chairman of the secondary department. This letter must contain substantial evidence to merit appointment or promotion for the candidate, documenting the individual's role in the secondary department (e.g. collaborative research, contributions to teaching).
- A **letter of support** from the primary department chairman. This letter should be as informative as possible, describing the individual's scientific research and scholarship, clinical practice, contributions to teaching and service to the university.
- These letters should be no less informative than if a full dossier were to be submitted. Letters of support should not be submitted containing a listing of several candidates for one department. The Basic Science Faculty Appointment, Promotion, and Tenure Committee makes its recommendations to the Dean of the School of Medicine based on criteria in the guidelines. The Dean then makes a recommendation to the President and the Provost. These documents are reviewed by both the President and Provost and become effective on the date they are signed.
- Dated and up-dated Curriculum Vitae using the approved format
- Personnel Action Form (PAF)

### **Calendar for Submitting Proposals for Appointment, Promotion, and Tenure in a Basic Science Department at the Ranks of Associate Professor and Professor**

#### **During the summer prior to submission of the dossier:**

1. The department chair should bring the proposed appointment or promotion to a vote of all their departmental members who already hold at least the rank and tenure status of the candidate. The chair then should submit the vote to the Office of Faculty Affairs along with a blanket letter of departmental approval of the promotion signed by all of the voting faculty and/or individual letters from each of the individual faculty.

2. The dossier must include a minimum of fifteen (15) letters of recommendation from individuals outside of Tufts University and its affiliated institutions (e.g., hospitals). These individuals should have an academic appointment (or an equivalent title) either at, or above, the level for which the candidate is being proposed. In addition, at least eight (8) of these letters must come from individuals with whom the candidate has neither directly collaborated nor trained. Most should be from individuals who have expertise in the candidate's area of research, and at least some should be noted experts in his field/fields of research.
3. A list of individuals capable of fulfilling the above criteria should be generated by the department chair (in consultation with the candidate). The department chair should send a letter to each individual on the list requesting an evaluation of the candidate. A copy of the candidate's CV should be included. **The letter should also request that the reviewer state their past and present association, if any, with the candidate.** It should also state that the letter of recommendation be sent directly to the Dean's office.
4. Letters from members of the Tufts Community, including colleagues, students and postdoctoral fellows, should also be requested.
5. The department chair should also provide the Dean's office with a list of the individuals from which letters of recommendation have been requested. This list becomes part of the candidate's final package and, as such, it is sent to the Provost and the President for their review; it must include the following information:
  - name of evaluator
  - evaluator's academic or business title
  - name of institution
  - address of institution
  - phone number
  - e-mail address or fax
  - a short description of the credentials of the evaluator (this has been requested by the President, who has the final decision whether to forward the promotion to the Board of Trustees).

### **September 1**

- The departmental chair should send letters to the evaluators, including a request that they reply by October 1.
- The list of evaluators must also be provided to the Office of Faculty Affairs TUSM.

### **October 1:**

- The department chair is invited to review the letters (from outside evaluators only).
- The chair then submits his/her letter proposing the candidate and describing the candidate and their qualifications for the promotion (**hard copy and diskette, MS Word**).
- The candidate provides a current CV (in the required format) to the Office of Faculty Affairs (**hard copy and diskette, MS Word**).

CV includes the following grant/funding information:

***Grant title [and type if applicable (e.g., R01)]:***

***Funding Agency:***

***Role (e.g., P.I.)***

***Amount per year (list Direct and Indirect Costs separately)***

***Amount of Total Award (list Direct and Indirect Costs separately)***

***Total period of finding:***

- Representative reprints of work in the past 5-years (published and in-press only) should be included.
- Also to be submitted at this time:
- Student Evaluations
- Teaching Portfolio (**hard copy and diskette**)

### **November 1**

- Each dossier is assigned to a subcommittee of the Academic Promotions and Tenure Committee.

### **December 31**

- Subcommittees complete their review.
- Entire Basic Science AP & T Committee begins reviews.

### **January 31**

- Basic Science AP & T Committee completes all reviews.
- Office of Faculty Affairs requests an updated CV to ensure the information is current (e.g., new funding) (**hard copy and diskette, MS Word**).

### **February 1**

- Final review for any additional information or corrections.
- Dean reviews dossier, submits his/her letter of proposal, and sends to Provost.

### **March 1**

- Provost and President review dossiers and send them electronically to Trustees.

### **April**

- Trustee Committee on Academic Affairs votes.

### **May**

- Full Professor and Tenure cases are voted on by the full Board of Trustees (**ALL FINAL ACTIONS ARE EFFECTIVE JULY 1**).

### **Endowed Chairs**

An appointment to an endowed chair may be made from the faculty ranks of the School of Medicine or through recruitment from the outside. Appointment to an endowed chair must be approved by the Dean and submitted to the Provost and the President of the University for their concurrence and forwarding to the Board of Trustees. All endowed chair appointments are voted annually by the Board.

### **Emeritus Faculty**

Upon retirement from the University of faculty who have served the School of Medicine in a geographic full-time capacity for a least ten continuous years prior to retirement, the department chair and the Dean may recommend that they be appointed as Emeritus. This recommendation is sent to the Provost and the President of the University for forwarding to and approval of the Trustee Committee on Academic Affairs and the full Board. Emeritus faculty members are encouraged to remain active in the School of Medicine and the University community and join their peers at commencement in a special seating area (please see **Activities and Opportunities for Emeriti Professors**) ([link](#)).

**TUFTS UNIVERSITY SCHOOL OF MEDICINE**  
**CURRICULUM VITAE and BIBLIOGRAPHY FORMAT**

(The Basic Science Faculty Appointment, Promotion and Tenure Committee and the Clinical Faculty Appointment and Promotion Committee require this format for appointment or promotion at the Associate Professor or Professor level.)

**DATE**

**FULL NAME AND DEGREE/S**

**CURRENT ADMINISTRATIVE TITLE** (hospital and/or university, if applicable)

**OFFICE ADDRESS** (Dept. or Division and Box No.):

**OFFICE PHONE NUMBER**

**E-MAIL ADDRESS**

**FAX**

**EDUCATION**

**Undergraduate:**

*Year of Degree*

*Degree*

*Institution*

**Medical School and/or Graduate School** (for graduate degrees note field or discipline)

*Year of Degree*

*Degree*

*Institution*

**POSTDOCTORAL TRAINING**

**Internship and Residencies:**

*Date*

*Specialty*

*Institutions*

**Fellowships:**

*Date*

*Specialty*

*Institutions*

**LICENSURE AND CERTIFICATION**

*Dates*

*Locations*

*State & Certificate No.*

**ACADEMIC APPOINTMENTS** (old and new)

*Date, Title, Department, Institution*

**HOSPITAL APPOINTMENTS** (list chronologically)

*Date, Title, Department, Institution*

**AWARDS AND HONORS**

*Date and Organization*

**HOSPITAL, MEDICAL SCHOOL, OR UNIVERSITY COMMITTEE ASSIGNMENTS:**

(departmental)

*(Date – Indicate Role)*

**OTHER MAJOR COMMITTEE ASSIGNMENTS:** (national, regional)  
*(Date – Indicate Role)*

**TRAINING OF GRADUATE STUDENTS/POST DOCTORAL** (list present and past)

**TEACHING RESPONSIBILITY** (present and past) chronological  
*Date, Course, Program, Department/Affiliation*

**PROFESSIONAL SOCIETIES**

**OFFICE AND COMMITTEE ASSIGNMENTS IN PROFESSIONAL SOCIETIES**  
*Date, Membership, Office Held, or Important Committee Assignment*

**MAJOR RESEARCH INTERESTS** (1/2 page maximum)

**RESEARCH SUPPORT** (present and brief summary of past)

*Grant Title:*

*Funding Agency:*

*Amount:*

*Period:*

*Role: (indicate P.I.)*

**EDITORIAL BOARDS AND ACTIVITY**

(Use a separate page for the following)

**\*BIBLIOGRAPHY**

- a) Refereed (i.e., peer-reviewed) papers*
- b) Other papers presenting primary data*
- c) Book chapters/Invited reviews*
- d) Editorials*
- e) Case Reports, if appropriate*
- f) Books authored/Books edited*
- g) Theses*
- h) Published abstracts (optional)*
- i) Invited lectures (last 3 years only)*
- j) Non-print publications (films, videos, etc.)*

\*Published and in press articles recorded. If in press indicate journal. Use standard format of New England Journal of Medicine.

Approved by Executive Council May 20, 1991

## **Separation from the School of Medicine**

### **Notice of Non-renewal of Contract**

In accordance with the **Policy on Academic Freedom, Tenure, and Retirement of the Board of Trustees of Tufts University** ([link](#)), Tufts University observes certain requirements for advance notice of non-renewal to full-time faculty members. The length of advance notice is related to the length of time served at the University and the termination date of the current appointment.

The Board of Trustees has affirmed that in cases not involving permanent or continuous tenure, if a full-time faculty member is not to be reappointed following one year or more of service, the University shall give written notice to the faculty member that he or she is not to be reappointed as follows:

### **Termination for Cause**

The policy with regard to **termination for cause** of an appointment prior to the expiration of a contract is contained in the Academic Freedom, Tenure, and Retirement policy of the Trustees, which is included in the appendix. In part, that policy states:

In the case of a termination for cause of appointment with permanent or continuous tenure, or a dismissal for cause prior to expiration of a term appointment, the faculty member concerned will be entitled to a hearing upon request. In such event, the faculty member shall be informed in writing before the hearing of the charges against him/her, and shall have the opportunity to be heard in his/her own defense by all bodies that pass judgment upon the case. He/she will be permitted to have with him/her an advisor of his/her own choosing who may act as counsel. There shall be a full stenographic record of the hearing available to both the University and the faculty member unless both the University and the faculty member waive the requirement. In the hearing of charges of incompetence, the testimony should include that of teachers and other scholars, either from his/her own or from other institutions. A faculty member having an appointment with permanent or continuous tenure who is dismissed for reasons not involving moral turpitude shall receive his/her salary for one year from the date of notification of dismissal whether or not he/she is continued in his/her duties at the institution.

Under the Trustee policy mentioned above, the services of a faculty member may also be terminated because of extraordinary circumstances, such as financial exigencies or program discontinuance.

### **Resignation**

It is expected that a faculty member who intends either to resign at the end of an academic year or to decline an offer of renewal will notify the department chair, in writing, sufficiently in advance so that the department can provide for the hiring of a replacement without any break in the continuity of the department's activities. The effective date of the faculty member's resignation should be the termination date of his or her current appointment. Except by express agreement with the Dean, a faculty member should not plan to vacate a position during the academic year.

## **Retirement**

There is no mandatory retirement date for faculty. When a faculty member chooses to retire, he/she should so inform the Dean of the School of Medicine in writing, sufficiently in advance so that the department can provide for continuity of the department's activities. The effective date of the retirement should normally be at the end of an academic year.

The Benefits Office in the Human Resource Department will provide pre-retirement information and guidance. Faculty members are encouraged to request information and literature regarding the University's pension plans, medical insurance, social security, and other related benefits effective during retirement.

When faculty members leave the University, they are required to return all Tufts identification cards, keys, and other University property