

## **Policy and Procedures**

### **Department of Medicine: Faculty Promotion Process**

#### **Call for Nominations**

The Department of Medicine (DOM) promotions process takes place twice a year, Spring (March) and Fall (September) and starts with a Call for Nominations. The Senior Business Systems Analyst runs a report of faculty in each Division removing the non-regular rank, Instructor Temporary, Emeritus, and Full Professors. The reports are sent to each Division Chief, their Division Administrator and any other Administrative Staff that supports the Chief requesting they submit names of faculty they would like to promote that cycle. A three-week deadline is requested.

Once completed reports are received from each Division, the names are entered on the Promotions Smartsheet and the tracking process begins. Each candidate is contacted via email (with the exception of GIM) informing them that they have been nominated for promotion and explaining the documents needed for their proposed rank. For Assistant Professors, a three (3) week deadline is set to return the documents. For Associate and Full Professors, a five to six-week deadline is given since more information is required. If the information has not been received by the deadline date, a follow-up email is sent to the candidate. If still no response after an additional three weeks, a third request is sent to the nominee with the Division Chief and Division Administrator copied. The nominee will sometimes ask for a specific extension and those are granted. If no response after three requests, the Division Chief will be notified so they can decide if the next nomination cycle may work better for the nominee.

**\*\*Note:** Do not contact the faculty in GIM directly (including Hospital Medicine). The Division starts their list of nominees' for promotion months before we send out the call for nominations so they have already collected the documents needed when the call goes out. The GIM Program Coordinator uploads the faculty documents in a Duke Box folder, including the Chief Nomination Letters. If any additional information is needed, this should be communicated with the Program Coordinator and not the faculty.

#### **Reviewing Faculty Documents Who Are Nominated for Promotion:**

Once documents are received from the nominee, they are reviewed for completeness including but not limited to:

- 1) Ensure CV is in the Duke format and that all current work history is accounted for, grant information is complete, including funding amounts, etc. Correct formatting if needed.
- 2) For Associate Professors and higher, career and tenure tracks, names of reviewers are compared against the CV to ensure there is limited collaboration or none at all (depending on rank).
- 3) Review the list of letter writers to ensure their rank is at or above the proposed rank of the nominee. Letters from folks currently holding an "Emeritus" title are not accepted by the SOM for faculty nominated for tenure status. However, they are accepted for career track faculty if the person holds another active title (does not have to be academic).
- 4) On the annotated bibliography, all publications must have been published within the past 7 years.

Once the review of a dossier is complete, the Division Chief is contacted for a nomination letter and asked to review and approve the list of letter writers provided by the Nominee. This step does not apply to GIM (see note on page 1).

### **Screening Meeting**

This committee consists of members from the larger DOM Voting Committee that are handpicked by the DAPT Chair for specific meetings as needed and assigned dossiers to review. The number of members needed for each meeting is dependent on how many promotions are being reviewed.

Dossiers for Assistant Professors do not require a Screening Committee review since the School of Medicine (SOM) does not require a vote from the larger committee. The screening committee only reviews Dossiers on faculty nominated to Associate or Full Professors (both tracks).

The screening committee may identify issues or weaknesses in a packet and make recommendation(s) that will make it stronger. The DAPT Chair or APT Coordinator (with permission from the DAPT Chair) will communicate the recommendation(s) to the faculty member or Division Chief. A follow-up is set up to ensure the promotion does not stall unless another decision is made by the Division Chief to hold promotion off a little longer, sometimes until the next nomination cycle.

Dossiers approved at the Screening Meeting will move forward to the next step of requesting letters.

### **Requesting Evaluation Letters**

Evaluation letters are requested for all regular rank appointments and this step can take the longest to complete.

For Assistant Professors, three (3) letters are required and when requested, we ask the Reviewer to submit their letter within four (4) weeks of our request. Internal and external letters are accepted for Assistant Professor promotions.

For Associate and Full Professors, a minimum of six (6) letters are required, and we ask the Reviewer to submit their letter within five (5) weeks for Associate Professors and six (6) weeks for Full Professor nominations. A follow-up email is sent out two days after the first “return by” date. If no response, another follow-up is sent out three weeks later. After three attempts with no response, the Division is notified for more names if the minimum number of letters has not been received.

Follow-up emails are critical to preventing promotions from stalling. Some reviewers will give us a date they are able to submit their letters, and we accept their date since we don't know how many letters might still be needed at that time. Reviewers will sometimes decline due to various reasons, and we remove those from the list. Receiving more than the minimum number of letters required will make a stronger packet.

For promotions on the career track, three out of the six letters can be from internal faculty but the SOM prefers that not be colleagues or supervisors.

For tenured promotions, the SOM will not accept letters from collaborators. When the nominee submits his/her CV, the reviewer list is compared against their CV before requesting letters. Sometimes collaborations are not discovered until the letter is received (i.e. previous co-worker in the past 7 years). Also, letters for tenured promotions must be from tenured faculty at outside institutions. This requirement can delay a promotion so it's best if the nominee can identify tenured faculty when he/she submits their list of names.

As letters are received, they are reviewed carefully for collaboration (depending on track).

### **Promotion Documents required by the School of Medicine:**

Below are the required documents that make up a dossier:

#### **Promotion from Medical Instructor to Assistant Professor\***

- CV in Duke Format
- Three (3) letters from evaluators (internal or external)

\*Effective 1/1/21, this track is now “undifferentiated.” This means faculty at this rank are not assigned a track (Career or Tenure track) until they are nominated to Associate Professor.

#### **Promotion from Assistant Professor to Associate Professor, Career Track & Associate Professor, without tenure, Tenure Track**

- Updated CV in the Duke Format
- Career Track: Six (6) letters from evaluators (Up to three (3) letters from Duke faculty, preferably non-collaborators). The SOM will sometimes make exceptions at this rank (since it is not a tenured decision) if it is difficult to find non-collaborators.
- Tenure Track without Tenure: Six (6) letters from evaluators - non-collaborators are preferred. However, the SOM will sometimes make exceptions at this rank (since it is not a tenured decision) if it is difficult to find non-collaborators.
- Intellectual Development Statement (IDS)
- Teaching Summary (if applicable) – This document can also be part of the IDS if preferred.
- Annotated Bibliography listing top 5 publications including a brief description about each one and their impact. (Not required for faculty on the Career Track if at least 80% of their effort is clinical.)

#### **Promotion from Associate Professor, Tenure track to Associate Professor with Tenure**

- CV in the Duke Format
- A minimum of six (6) letters from evaluators external to Duke. Internal letters or letters from collaborators are **not** accepted for faculty on the Tenure Track – NO EXCEPTIONS. The SOM requires letters from tenured faculty that hold at least the same rank proposed for the nominee.
- Intellectual Development Statement (IDS)

- Teaching Summary (if applicable) - This document can be part of the IDS or a separate document.
- Annotated Bibliography listing top 10 publications including a brief description about each one and their impact.

### **Promotion from Associate Professor, Career Track to Professor, Career Track**

- Updated CV in the Duke Format
- A minimum of 6 letters is required. Up to three (3) letters can be from Duke faculty that are at the same rank or higher;
- Intellectual Development Statement (IDS)
- Teaching Summary (if applicable) - This document can be part of the IDS or a separate document.
- Annotated Bibliography listing top 10 publications including a brief description about each one and their impact. **(Not required for faculty on the Career Track if at least 80% of their effort is clinical.)**

### **Promotion from Associate Professor with Tenure to Professor with Tenure**

- Updated CV in the Duke Format
- A minimum of 6 letters is required. Letters from collaborators are **not** accepted for faculty with Tenure – NO EXCEPTIONS.
- Intellectual Development Statement
- Teaching Summary (if applicable) - This document can be part of the IDS or a separate document.
- Annotated Bibliography listing top 20 publications within the past 7 years including a brief description about each one and their impact.

### **APT Voting Committee Meeting**

The DOM Voting APT Committee currently consists of 30 Department of Medicine faculty that are Associate or Full Professors on the Career or Tenure tracks. The Department Chair is a non-voting member. Prior to 2020, voting meetings were held twice a year, but this has changed to more frequent meetings throughout the year. Once those who can attend have RSVP'd, their names are sent to the DAPT Chair, who will assign members specific files to review and discuss at the meeting. Members are assigned files of nominees outside of their division to avoid a conflict of interest.

### **Review of Dossiers**

Once all the letters are received and documents are complete, the file is ready for review. Below are the steps that take place depending on the proposed rank:

Promotion to Assistant Professor: A promotion to Assistant Professor does not require a review by the Voting Committee. Once the dossier is complete, the following steps take place:

- 1) Dossier is sent to the DAPT Chair and his assistant for review. They will provide a letter under the Chair's name to accompany the dossier.
- 2) DAPT Chair letter is submitted to the Chair's office for signature.
- 3) The signed Chair's letter along with the dossier is loaded in the "Medicine-APT" Duke Box folder. An email is sent to Seneca McLean, Program Coordinator in the SOM APT office, letting her know that the file was loaded and is ready for review.
- 4) Promotion is entered in dFac using an effective date outlined in the SOM Processing Timetable.
- 5) The Division Chief is notified that the file has been sent to the SOM along with a proposed effective date.
- 6) The SOM Program Coordinator will alert the department if there is a problem with the dossier.
- 7) Following review by the Board of Trustees, the Department Chair is notified of the approval and effective date. The Chair's office sends out "Congratulations" emails to those approved with the faculty member's Division Chief copied.

Promotion to Associate or Full Professor: All promotions to Associate or Full Professor on the career and tenure tracks require a vote at a DOM APT Voting Committee meeting. Once the dossier is complete, the following steps take place:

- 1) Once the meeting date and reviewers are set, the dossier is sent to a primary and secondary reviewer.
- 2) Reviewers discuss their findings at the meeting. If an issue is discovered or further clarification is needed, the DAPT Chair or APT Coordinator will contact the Division Chief or the nominee directly. If the issue needs more time to be resolved, members may abstain from voting and a vote will be sought at a later time.
- 3) If the packet is complete and no additional information is needed, the members will submit their anonymous vote at the end of the meeting via Qualtrics. The majority vote rules. Attendance is required by at least half the members before a vote can take place.
- 4) Following the voting meeting, the Dossiers along with the reviewer comments are sent to the DAPT Chair and his assistant. They will provide two letters to accompany each dossier, one from the DAPT to the Chair and the other from the Chair to the Dean.
- 5) Both letters (DAPT to Chair and Chair to Dean) are submitted to the Chair for review and signature.
- 6) The signed letters along with the dossier are loaded in the "Medicine-APT" Duke Box folder. An email is sent to the Program Coordinator in the SOM APT office letting her know that the file was loaded and is ready for review.
- 7) The Division Chief is notified that the file has been sent to the SOM along with a tentative effective date. For tenured decisions, the date may be listed as "TBD."
- 8) The SOM will alert the department if there is a problem with the dossier. For tenured decisions, an effective date is not provided until after the MCEC meeting.
- 9) Following approval by the Board of Trustees, the Chair is notified of the approval and confirm the effective date. The Chair's office sends out "Congratulatory" emails to the approved faculty and their Division Chiefs.

### **Communicating Promotions**

Twice a month (middle and last day), the APT Coordinator notifies the Division Chief(s) and their DA and/or administrative staff individually of any promotion packet(s) for their faculty that were sent to the SOM during the previous two (2) week period and a tentative effective date. This date is based off of the review of upcoming SOM meeting dates, which can be subject to change without notice. Tentative approval dates of tenured promotions are not provided until the department is notified by the School of Medicine, this normally follows after MCEC has approved the dossier. Typically, we do not provide updates to the faculty member as many of the Chiefs prefer to share the good news.

### **Secondary Appointments in DOM**

Request for Secondary Appointments are received in one of two ways.

Internal Request:

- 1) DOM Division Chief submits a request to the APT Coordinator for a secondary appointment of a faculty member outside of the Department. If the candidate's CV is not included, the APT Coordinator will request one.
- 2) The Division Chief letter and CV are sent to the DAPT Chair for review and approval.
- 3) If approved, the APT Coordinator will prepare a letter of concurrence for the primary and secondary Chairs to sign and distribute for signatures.
- 4) Signed letter and candidate's CV are forwarded to the SOM APT office for approval
- 5) It should be determined if the Primary or Secondary department will enter the appointment in dFac.

Secondary Appointments for DOM Faculty in other Duke Departments:

- 1) A letter & CV is received from another department, signed by their Chair, requesting a secondary appointment for a DOM faculty member.
- 2) The letter and CV is shared with the faculty member's Division Chief for approval.
- 3) If approved, the information is sent to the DAPT Chair for review and approval.
- 4) If approved, the Letter of Concurrence is sent to the DOM Chair's office for signature.
- 5) The executed letter is forwarded back to the secondary Department. It should be determined if the Primary or Secondary department will enter the appointment in dFac.

### **Secondary Promotions for DOM Faculty**

For each DOM faculty member that is nominated for promotion, a search is done to see who holds a secondary appointment in another department, and this is documented on the SmartSheet. Once their dossier is complete and forwarded to the SOM APT office, the following steps are taken:

- 1) The Secondary department is notified of the DOM faculty nomination packet and asked if they would consider promoting the DOM faculty member in the secondary department.
- 2) Departments advise what documents are required to process the request (this varies across Duke). Some departments will require a vote by their own committee, some require approval of the primary appointment first while others only require approval by their Chair. Besides any additional steps or documents by the secondary department, a Letter of Concurrence signed by both Chairs is required by the SOM.
- 3) Once all requirements have been met, the executed letter is sent to the SOM APT office. A CV is not required since it was already submitted in the dossier. The DOM should

communicate with the Secondary department to confirm who will enter the promotion in dFac.

**Secondary Promotions in DOM for Other Duke Faculty**

The department will submit a Letter of Concurrence signed by the Chair & CV to the DOM APT Coordinator informing us of their faculty member's promotion. The following steps are taken:

- 1) The Letter of Concurrence and CV is shared with the faculty member's Division Chief for Approval.
- 2) If approved, the information is sent to the DAPT Chair for review and approval.
- 3) If approved, the information is sent to the DOM Chair's office for signature.
- 4) The executed letter is forwarded back to the Secondary department. It should be determined if the Primary or Secondary department will enter the appointment in dFac.