

## **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 generates a faculty report for each Division (excluding Non-Regular Rank faculty, Instructor Temporary, Emeritus, and Full Professors). The reports are sent via email to each Division Chief, the Division Administrator, and any other Administrative Staff that supports the Chief along with a request to submit a Faculty Promotion Nomination form for each faculty member being nominated. The division chief has the option of submitting the nomination letter at this time, but it is not required. A three-week deadline is provided.

As nominations are submitted, faculty names automatically appear on the Promotions Smartsheet and the tracking process begins. Within one week of the deadline, each candidate is contacted via email informing them that they have been nominated for promotion and outlining the documents needed for their proposed rank. For Assistant Professors, a three (3) week deadline is set for the faculty member to submit their documents. For Associate and Full Professor nominations, a 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 two weeks, a third request is sent to the nominee with the Division Chief and Division Administrator copied. The nominee may request a specific extension or to move to the next call cycle. If no response after the second attempt, the candidate will move to the next nomination cycle.

#### **Administrative Review of Promotion Documents**

As documents are received from nominees, the APT team review all documents for completeness, including but not limited to:

- 1) Ensure CV is in the current Duke format and that all current work history is accounted for, grant information is complete, including funding amounts, etc. Formatting is corrected, 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) The list of letter writers is reviewed to ensure their rank is at or above the proposed rank of the nominee. Letter writers holding an "Emeritus" title are not accepted by the SOM for faculty nominated for tenure status. However, Emeritus letter writers are accepted for Career Track faculty dossiers if the person holds another active title. The title does not have to be an academic title; it could be a leadership title in a private organization.
- 4) For the annotated bibliography, all publications must have been published within the past 7 years for Tenure Track (preferred within the past 7 years for Career Track).

#### **Ad Hoc Screening Committee**

For dossiers identified by the DAPT Chair, questions about appropriate promotion, an ad hoc screening committee will be called to review the dossiers so there is no single person making the decision. The Screening Committee is an ad hoc committee consisting of members from the larger DOM Voting Committee who are selected by the DAPT Chair. Each committee member

is assigned one dossier to review. The number of members in attendance for each meeting is dependent on the number of dossiers 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 DOM APT Voting Committee. The screening committee only reviews dossiers for faculty nominated to Associate or Full Professor (both tracks).

The screening committee may identify issues or weaknesses in a packet and make recommendation(s) to strengthen the dossier. 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 Ad Hoc Screening Meeting will advance to the next step of requesting letters.

### **Requesting Evaluation Letters**

Evaluation letters are requested for all regular-rank promotions, and this step can be the most time consuming in the entire promotion process. The APT team requests evaluation letters from the list of reviewers provided by candidates.

For Assistant Professors, three (3) letters are required; Reviewers are requested to submit their letter within four (4) weeks. Internal and external letters are accepted for Assistant Professor promotions.

For Associate and Full Professors, a minimum of six (6) letters are required. Reviewers are asked to submit their letter within five (5) weeks for Associate Professors and six (6) weeks for Full Professor nominations. A reminder email is sent two weeks prior to the due date. If no response by due date, a follow-up email is sent one week later. After three attempts with no response, the Division is notified to provide additional names (if the minimum number of letters has not yet been received).

Follow-up emails are critical to preventing promotions from stalling. Some reviewers will request an extension and provide a date by which they will submit their letters. The APT team accepts extensions since it is uncertain how many letters will be received by the original due date. Reviewers will sometimes decline to write for various reasons; the individuals are marked as such and no longer contacted. Receiving more than the minimum number of letters required results in a stronger packet.

For promotions to Associate Professor without tenure on the Career or Tenure tracks, three out of the six letters can be from internal Duke faculty; however, the SOM prefers they not be collaborators or supervisors.

For promotions to Professor (Tenure or Career track), all reviewers must be external to Duke. For tenured promotions, the SOM will not accept letters from collaborators/co-authors. 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).

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

### **Promotion Documents Required by the School of Medicine**

Location of resources: [SOM website](#) and [DOM website](#)

Below are the required documents that make up a dossier:

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

- CV in the current 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 current Duke format
- Career or Track: Six (6) letters from evaluators who have an academic rank equal to or greater than the promotion the nominee is seeking. Up to three (3) letters can be from Duke faculty (non-collaborators).
- Intellectual Development Statement (IDS)
- Teaching Summary (if applicable) – This document should be separate from the IDS.
- Annotated Bibliography listing significant publications, including a brief description about each one and their impact.
  - Associate Professor (Career Track) – 3 required (within 7 yrs. preferred)
  - Associate Professor, without tenure (Tenure Track) – 5 (all within 7 yrs.)

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

- Updated CV in the current 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 faculty who have an academic rank equal to or greater than the promotion the nominee is seeking.
- Intellectual Development Statement (IDS)
- Teaching Summary (if applicable) - This document should be separate from the IDS.
- Annotated Bibliography listing top 10 publications (all within the past 7 years), including a brief description about each one and their impact.

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

- Updated CV in the current Duke format

- A minimum of 6 letters is required. All letters must be from individuals external to Duke and at the Professor rank.
- Intellectual Development Statement (IDS)
- Teaching Summary (if applicable) - This document should be separate from the IDS.
- Annotated Bibliography listing 10 significant publications (within the past 7 yrs. preferred), including a brief description about each one and their impact.

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

- Updated CV in the current 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 should be separate from the IDS.
- 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. Voting meetings are held as needed throughout the academic year, depending on when dossiers are complete. Once a meeting date is established, the DAPT Chair assigns committee members specific dossiers to review and present at the meeting. Members are assigned dossiers for nominees external to their division to avoid any conflict of interest.

### **Review of Dossiers**

Once all reviewer 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 DOM APT Voting Committee. Once the dossier is complete, the following steps take place:

- 1) The DAPT Chair provides a letter under the Chair's name to accompany the dossier.
- 2) The 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 and notification is sent to Seneca McLean, Program Coordinator in the SOM APT office, that the file has been loaded in Box 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 of the tentative effective date in the monthly promotion status email sent from DOM APT.
- 6) If there are any issues with the dossier, the SOM Program Coordinator will alert the department.

- 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 of the DOM APT Voting Committee meeting. Once the dossier is complete, the following steps take place:

- 1) Once the meeting date and primary and secondary reviewers are determined, dossiers are uploaded to a Box folder created for that meeting.
- 2) Committee members assigned as primary and secondary reviewers are notified with the request to complete their forms within one day of the Voting Committee meeting. Completed reviewer forms are uploaded to the Box folder.
- 3) Primary and Secondary reviewers present their assigned candidates 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 defer from voting and a vote will be taken at a later time.
- 4) If the packet is complete and no additional information is needed, members will submit their anonymous vote via Qualtrics. For members who cannot attend the meeting, the recording of the Zoom meeting will be available in the Box folder for viewing/voting after the meeting. After three (3) business days, the Qualtrics results will be pulled and placed on the Department of Medicine APT Committee form.
- 5) Following the voting meeting, two letters are prepared by the DAPT Chair to accompany each dossier, one from the DAPT Committee to the Chair and the other from the Chair to the Dean.
- 6) Both letters (DAPT to Chair and Chair to Dean) are submitted to the Chair for review and signature.
- 7) The DOM APT Coordinator uploads the DAPT to Chair and Chair to Dean letters along with the dossier to the "Medicine-APT" Duke Box folder. The SOM APT Program Coordinator is notified that the dossier was loaded in Box and is ready for review.
- 8) The Division Chief is notified of the tentative effective date in the monthly promotion status email sent from DOM APT. For tenured decisions, the date may be listed as "TBD."
- 9) The SOM will alert the department if there are any issues with the dossier. For tenured decisions, an effective date is not provided until after the MCEC meeting.
- 10) Following approval by the Board of Trustees, the Chair is notified of promotions approved, including the effective date. The Chair's office sends out "Congratulatory" emails to promoted faculty, with the Division Chief copied.

### **Communicating Promotions**

Once a month, the APT Team Lead communicates promotion updates to the Division Chief(s), the Division Administrator, and/or designated administrative staff. This communication will include the current status of the dossier (such as DOM administrative review; dossier returned to nominee for updates; collecting reviewer letters, including current number received; dossier routed to SOM; MCEC/BoT meeting dates; and tentative effective date for promotion). This tentative effective date is determined by upcoming SOM meeting dates. These dates are subject to change without notice. Tentative approval dates of tenured promotions are not

provided until the department is notified by the School of Medicine, which is typically when the dossier has been approved by the Medical Center Executive Committee (MCEC). The APT team does not provide updates directly to individual faculty member unless the promotion is already displaying in Scholars@Duke.

### **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 prepares 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) The Primary and Secondary departments will determine who will enter the appointment in dFac.

#### **Secondary Appointments for DOM Faculty in other Duke Departments:**

- 1) A letter and CV are received from another department, signed by their Chair, requesting a secondary appointment for a DOM faculty member.
- 2) The letter and CV are 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. The Primary and Secondary departments will determine who will enter the appointment in dFac.

### **Promotions for DOM Faculty with Secondary Appointments in Other Duke Departments**

When a DOM faculty member submits their DOM Promotions Nominee Requirements form, they are asked if they hold a secondary appointment in another department and to provide the name of the Department. This information is documented on the DOM Promotions SmartSheet. Once the 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 APT Coordinator confirms with the Secondary department as to who will enter the promotion in dFac.

**Secondary Promotions in DOM for Duke Faculty who Hold Primary Appointments in Other Departments**

The Secondary department will submit to the DOM APT Coordinator a Letter of Concurrence signed by the Department Chair and include a copy of the faculty member's CV. The letter will include the proposed rank for the faculty member's promotion. The following steps are taken:

- 1) The Letter of Concurrence and CV are 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/signed letter is forwarded back to the Secondary department. The DOM APT Coordinator will enter the promotion in dFac.