

APPENDIX J: BASIC SCIENCES SCHOOL OF MEDICINE

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Bylaws of the Basic Sciences Faculty Steering Committee

I. Preamble

On May 4, 1987, the faculty of the basic sciences departments of the Duke University School of Medicine met as a whole and voted to establish and elect a Faculty Coordinating Committee for the Development of the Basic Sciences. The Coordinating Committee was charged with drafting a plan for the reorganization and development of the basic sciences departments. The Coordinating Committee's report, which was approved by a vote of the basic sciences faculty on October 9, 1987, furnished the blueprint for subsequent development and faculty governance in the basic medical sciences at Duke Medical Center.

In adopting the Coordinating Committee's report, the basic sciences faculty replaced the Coordinating Committee with a permanent body of elected faculty representatives, the Basic Sciences Faculty Steering Committee, which serves as a faculty senate for the basic sciences. The job of the Steering Committee is to ensure that faculty opinions are ascertained, articulated, and voiced in all debates and decisions involving the interests of the basic sciences faculty.

II. Membership of the Faculty Steering Committee

The Faculty Steering Committee for the Basic Sciences shall consist of one member from each basic sciences department and one member from each section that has at least four tenure track faculty members in addition to its chairperson. Any tenure track faculty member with a primary appointment in a basic sciences department or section, other than the chairperson of that department or section, is eligible to be nominated and elected as its representative to the Faculty Steering Committee. In Basic Science departments where the number of tenure track faculty represents less than 50% of the total faculty, non-tenure track faculty members from that department are eligible to serve as its representative to the Basic Sciences Faculty Steering Committee.

In the event that a department or section ceases to exist, its representative to the Faculty Steering Committee shall continue to serve as a member of the committee at large until the next election of representatives to the Faculty Steering Committee. A member of the Steering Committee who becomes a temporary or interim chairperson of a department or section may serve out the remainder of his or her term if a majority of the other members of the Steering Committee vote to allow this. A member of the Steering Committee who is appointed to serve as the permanent chairperson of a department or section shall resign from the Steering Committee and be replaced by the alternate representative from that department or section, following the procedures in these by-laws governing the resignation of representatives to the Steering Committee.

III. Election Procedures

Members of the Steering Committee are elected to two-year terms. One cohort of its members shall be elected in odd-numbered years and the remainder in even-numbered years, to ensure continuity. The two cohorts shall contain the same number of representatives, or as close to the same number as possible.

Members of the Steering Committee shall be elected by vote of the entire basic sciences faculty on the first Monday in May of every year. During the first three months of a year in which the term of a Steering

Committee member is due to expire, the faculty of the department or section represented by that member shall meet to nominate three candidate successors, who shall be chosen by a secret ballot. The current Steering Committee member shall help to count the ballots, verify the eligibility and willingness of the three nominees, and forward their names to the presiding officer of the Steering Committee on or before the first Monday in April. That officer shall devise a ballot listing all the nominees for each department and see to it that one copy is distributed to each member of the basic sciences faculty at least one week prior to the date of the election. Faculty may vote for one nominee from each of the departments listed. For each department or section, the nominee receiving the highest number of votes from the entire basic sciences faculty shall become the representative to the Steering Committee. The second- and third-place candidates shall become first and second alternates respectively, and shall succeed in that order to the Steering Committee in the event of the resignation or indisposition of the elected representative. If and when it becomes necessary to choose additional alternates, they shall be elected by the faculty of the department or section they are to represent.

A presiding officer of the Steering Committee shall be elected by a majority vote at the committee's first meeting following each annual election, and at any other time following the resignation or indisposition of the presiding officer. Members who are acting chairpersons of departments or sections are not eligible to preside over the Faculty Steering Committee.

IV. Duties of the Faculty Steering Committee

It shall be the responsibility of the Faculty Steering Committee for the Basic Sciences to consider and make proposals to the Medical Center administration regarding all aspects of education, faculty development, faculty research and teaching activities, and other functions of the Medical Center involving the basic sciences faculty. The Steering Committee will also serve as a conduit for the transmission and dissemination of ideas and issues between the Medical Center administration and the basic sciences faculty. The Steering Committee will undertake to survey faculty opinion and form faculty committees when necessary to meet these responsibilities. Individual members of the committee are expected to keep the faculty of the departments and sections they represent informed on all matters of consequence that come before the committee.

The Faculty Steering Committee shall serve as a committee on committees for the basic sciences faculty. In that capacity, it shall nominate faculty to serve on standing and ad hoc committees in the Medical Center and present these nominations to the administrative officer empowered to form the committees in question. Administrators are of course free to consult any faculty they wish on an individual basis, but should seek nominations and approval from the Faculty Steering Committee in all situations where the opinions of a faculty member are to be construed as representative of basic sciences faculty opinion. It is expected that an administrative officer will not appoint basic sciences faculty representatives to standing advisory committees without seeking nominations from the Faculty Steering Committee. The administrative officer may suggest nominees to the Steering Committee if he or she so wishes. If the faculty nominated by the Steering Committee are unacceptable to the administrative officer, he or she should return to the Steering Committee to seek additional nominations.

Except in emergencies, it is expected that all major plans and decisions of the Medical Center administration that significantly affect academic affairs will be submitted to the Faculty Steering Committee so that it can solicit and articulate faculty views before those plans and decisions are implemented or submitted to the university's president or Board of Trustees. The presiding officer of the Steering Committee will see to it that the faculty's views are represented to the administrators or trustees of the university when proposals involving the Medical Center are presented to them for their consideration.

The Faculty Steering Committee shall be responsible for scheduling, announcing, and presiding over a general meeting of the basic sciences faculty of the School of Medicine at least once annually during the spring or fall semesters of the academic year. At that meeting, the presiding officer of the Steering Committee will report to the faculty on the committee's deliberations and actions during the preceding year. The chief administrative officers of the Medical Center and the School of Medicine shall also be invited to attend this meeting and present reports on matters of faculty concern for open discussion.

V. Procedure for amending the Basic Sciences Faculty Steering Committee bylaws

Bylaws of the Basic Sciences Faculty Steering Committee may be amended by a majority of those members of the basic science faculty present at a meeting of the Basic Sciences Faculty Steering Committee, provided that the text of any proposed amendment has been circulated to the members of the basic sciences faculty at least two weeks prior to any such meeting.

Procedures and Criteria for Appointment, Promotion, and Tenure

- I. Non-Tenured Tenure Track Positions (Assistant and Associate Professors):
 - A. Criteria:
 1. The candidate must have an outstanding research record in his or her field, and the potential for developing an outstanding independent research program, obtaining the appropriate extramural funding, and becoming an excellent teacher.
 - B. Procedures:
 1. National searches must be carried out unless an exception is approved by the dean, School of Medicine/vice chancellor for medical center academic affairs.
 2. A minimum of three letters of recommendation should be obtained. These letters should indicate the candidate is truly outstanding and provide documentation for this assertion.
 3. A department vote must be reported and a record kept of those voting. If possible, comments from the faculty or a letter from a faculty recruitment committee should be obtained.
 4. The letter from the chair should summarize the search and selection procedures, including information about the numbers of applications received and interviews carried out. Efforts made to ensure that minorities and women were represented in the final pool should be addressed and how the person fits into the overall departmental plan indicated.
 - C. Review:
 1. Appointment recommendations for assistant professors will be reviewed by the dean, School of Medicine/vice chancellor for medical center academic affairs. The final decision shall rest with the chancellor.
 2. Appointment recommendations for associate professors will be reviewed by the dean, School of Medicine/vice chancellor for medical center academic affairs. The final decision shall rest with the chancellor.
 3. Under special circumstances, promotion from assistant to associate professor without tenure will be considered. The review process will be the same as for appointment at the non-tenured associate professor level, but the criteria and documentation will be established by the reviewing agencies on a case-by-case basis.
- II. Promotion to Tenure and Professor and Tenure Appointments:
 - A. Criteria:
 1. The criteria for promotion, which must be clearly addressed in both the internal and external documentation, are:
 - i. Important and original contributions to the candidate's field. The candidate must have a publication record that demonstrates substantial independent scholarship and important research contributions, including opening new avenues of investigation and/or new ways of tackling a fundamental question. For publications on which the candidate is not first or senior author, the candidate must clearly articulate the specific contribution(s) that he/she has made as part of his/her statement of research contribution (see B.2 below).
 - ii. Demonstrated success at external funding sufficient to support the research effort expected from a tenured faculty member in his or her specific research area, and a strong likelihood of sustained funding at that level.
 - iii. A strong national/international reputation, including invited participation in major meetings in their field.
 - iv. Significant contributions to teaching.
 - v. Service to the department and university, as well as participation in interdisciplinary collaborations between departments and/or schools.
 2. The rank of professor is reserved for those who have clearly met the criteria for tenure and have demonstrated continuous intellectual development and leadership.
 - B. Departmental Level Review:
 1. If an appointment is made from outside the department, a national search must be carried out unless an exception is approved by the dean, School of Medicine/vice chancellor for medical center academic affairs. The documentation should provide information about the search,

including the number of applications and interviews and efforts made to ensure that minorities and women were represented in the final pool.

2. Each candidate for appointment and/or promotion with tenure shall be notified by the department chair a minimum of one month in advance of a scheduled departmental review and shall be invited to submit all relevant documents including (1) curriculum vitae, (2) statement of research and teaching contributions, (3) copies of scholarly publications, (4) description of research funding, and (5) list of suggested outside reviewers. A complete list of required documents is available from the dean, School of Medicine/vice chancellor for medical center academic affairs.
 3. The chair will solicit six to ten (a minimum of six) letters from individuals external to Duke University who are qualified to evaluate the candidate's scholarly contributions. At least half of these letters should be obtained from a list of qualified individuals suggested by the evaluating faculty of the department (or section), but not by the individual being reviewed. Letters from persons who have served as mentors or who have published jointly with the candidate may be included, but these letters shall be in addition to the six required letters.
 4. Candidates will present their work in a public seminar within the six months prior to final consideration of their dossier by departmental colleagues.
 5. The complete dossier will be presented to all tenured faculty within the department or section of rank equal to or higher than the rank sought by the candidate. A secret vote will be taken at a subsequent meeting of these tenured faculty members and the results recorded by the chair together with the names of those faculty members voting.
 6. In the case of positive action within the department or section, the dossier will be forwarded to the dean, School of medicine/vice chancellor for medical center academic affairs accompanied by a letter from the chair detailing the qualifications of the candidate, the vote by the faculty on the candidate's promotion, the names of the faculty voting, and the personal recommendation of the chair. If the department or section reaches an unfavorable decision, the dean, School of Medicine/vice chancellor for medical center academic affairs is so informed and the dossier forwarded to this individual for review. A negative decision of the department can be appealed by the faculty member to the dean, School of Medicine/vice chancellor for medical center academic affairs. If his or her decision is positive, the case shall be directed to the Provost's Appointment, Promotion, and Tenure Committee to be processed according to the procedures for a positive department recommendation. If his or her decision is negative, further appeal by the faculty member or department chair can be made to the provost.
 7. Non-tenured faculty must be reviewed by the tenured faculty of the department at least every three years and advised of their standing in the department or section. In the case of section members, the review should be conducted jointly by the section chair, tenured faculty members of the section, and the appropriate department. Any faculty member may formally request that he or she be considered for promotion or tenure by submitting a letter to the department or section chair.
 8. All dossiers approved and forwarded by the department or section shall be submitted to the Appointments, Promotions, and Tenure Committee for consideration after recommendation of the dean, School of Medicine/vice chancellor for medical center academic affairs.
 9. Following the review by the dean, School of Medicine/vice chancellor for medical center academic affairs shall forward the dossier together by cover letter with his or her recommendation to the Provost.
- C. Review by the Provost:
1. The complete dossier is reviewed by the provost's Advisory Committee on Appointment, Promotion, and Tenure as detailed in the Duke University Faculty Handbook, Chapter 3, and their recommendation forwarded to the provost.
 2. The provost, in turn, forwards his or her positive recommendations, after consultation with the president, to the Board of Trustees for their action. The provost will communicate to the chancellor for health affairs his or her decision and the major factors underlying it.
 3. The chancellor for health affairs will, in turn, notify the dean, School of Medicine/vice chancellor for medical Center academic affairs and the appropriate department chair.
 4. The chair, in turn, communicates the decision to the candidate.

5. If the provost reaches a negative decision, he or she will so notify the chancellor for health affairs. The department or school will have two weeks within which it can communicate to the provost any grounds on which it feels the decision is inappropriate. An appeal should be forwarded by the department to the chancellor for health affairs who will send the appeal to the provost, along with the chancellor's recommendation for disposition. On any one case the department or school is limited to one appeal of the decision by the provost.
- D. Expectation of Privacy:
1. Pursuant to university custom and policy, all documents contained in the dossier with the exception of the materials submitted by the candidate are considered confidential as is the identity of all external reviewers. The total dossier is made available to those individuals officially responsible for recommendations and/or decisions on the candidate's status. These individuals include (1) the tenured department faculty of rank equal to or higher than the rank sought by the candidate, (2) the department chair, (3) the dean, School of Medicine/vice chancellor for medical center academic affairs, (4) the chancellor for health affairs, (5) the provost, (6) the provost's Advisory Committee on Appointment, Promotion, and Tenure, (7) the president, and (8) the Board of Trustees. All individuals participating in the appointment, promotion, and tenure process are expected to adhere to this statement regarding confidentiality.
 2. Ad-hoc panels and/or individual additional external reviewers may be consulted by any of the above listed university administrators or faculty bodies with the expectation that the privacy and confidentiality of the dossier is protected.

**Materials to be Submitted by the Department
in Support of Nominations for Tenured Appointments and Promotions**

One CD and the original of the complete dossier in three-ringed binders tabbed to indicate the individual sections should be submitted. The department should retain a copy of the complete dossier in its files. Copies of the complete list of materials to be submitted by the department in support of nominations for tenured appointments and promotions in the Basic Sciences are available on the Provost web pages at:

<http://facultyaffairs.provost.duke.edu/formatting.html>

http://facultyaffairs.provost.duke.edu/Formatting_for_dossiers.pdf