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Organization: Alumni Engagement and Development

Section of Handbook: Appendix E: School's APT and Other Procedures

<https://policies.provost.duke.edu/docs/faculty-handbook-appendix-e-school-apt-procedures>

Description of Edit:

- Updated language for new hires that touches on diversity of applicant pool, to comply with federal regs and guidance, based on direction from Counsel
- Clarified role of department chair and Dean, and appeals process, for promotion cases
- Added alternate departmental committee approver, and updated title
- Minor reorganization of departmental vs SOM review, for ease of reading
- Minor spelling and grammar updates for consistency

School of Medicine – Basic Sciences

Appointment, Promotion, and Tenure (AP&T) Processes for Regular Rank Faculty with Primary Appointments in Basic Science Departments

General Considerations

Appointment, promotion, and the conferring of tenure to regular rank faculty in the Basic Science departments of the School of Medicine follow the guidelines set forth by the Office of the Provost. Detailed guidance for this process is provided by the [Duke University Office of Faculty Affairs Administration](#).

The time from the initial appointment as an Assistant Professor, tenure track, until a decision to, or not to, award tenure is seven years (Tenure Clock). In accordance with university bylaws, if the candidate is not notified of a decision regarding tenure by the end of their seventh year, then tenure is granted by default.

The faculty member and the department Chair should also agree on any extension of time-to-tenure (Tenure Clock) for reason of family leave, disability, or part-time or flexible-time employment arrangements, in accordance with university policy. Tenure Clock extension requests should be submitted to the School of Medicine AP&T Office using the Tenure Clock Extension Request Form located at https://medschool.duke.edu/sites/default/files/2024-01/tenure_clock_extension_editable_form_-_version_1.24.pdf in writing to the Dean, School of Medicine at, or close to, the time the need arises. The School of Medicine AP&T Office shall coordinate review by the Dean and then the provost.

For all new hires, a national search must be conducted unless a waiver of the national search requirement is approved by the Dean, School of Medicine.

New appointments: Assistant Professor, Associate Professor (tenure track, without tenure)

Criteria

The candidate must have an outstanding research record in their field commensurate with their rank.

The candidate must have the potential to develop an outstanding independent research program, obtain appropriate extramural funding, and become an excellent teacher and mentor.

Procedures

The candidate will 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 reviewers. A complete list of requirements is posted on the provost's AP&T website, <https://facultyaffairs.provost.duke.edu/appointment-promotion-and-tenure/> <https://facultyaffairs.provost.duke.edu/apt->

A minimum of three letters of recommendation for the level of Assistant Professor and six letters of recommendation for the level of Associate Professor must be obtained. These letters should indicate that the candidate is truly outstanding and provide documentation for this assertion.

A vote of all faculty in the department of rank equal to or higher than the rank sought by the candidate must be conducted and a tabulation retained of the vote. To be valid, a quorum is required, defined as a majority of eligible voting faculty of the department. A majority of these faculty eligible to vote must approve the appointment. The names of the faculty members present and voting along with a numerical tally of the vote is to be included with the dossier as prescribed by the provost's guidelines.

A letter from the department Chair to the Dean, School of Medicine should summarize the search and selection process, including information about the numbers of applications received and interviews conducted. The letter should describe efforts to identify and address any barriers to equal employment opportunity and to cultivate a diverse pool of qualified applicants, ensure that minorities and women were represented in the final pool and provide an explanation of how indicate how the candidate's scholarship contributes to fits into the department's overall academic excellence and teaching, mentoring, research, and service departmental plans.

Under special circumstances, promotion of a current faculty member from Assistant Professor to Associate Professor without tenure will be considered. The review process will be the same as for a new appointment of an Associate Professor without tenure, with the criteria and required documentation established by the reviewing parties on a case-by-case basis.

School of Medicine Review:

Commented [JF1]: Updated language from Counsel's office, do not edit without approval.

Commented [JF2R1]: Confirmed language with Neera Skurky 11/25/24

Commented [JF3]: Check re recent Supreme Court decision

New appointment recommendations for faculty candidates in the tenure track at the ranks of Assistant Professor and Associate Professor (tenure track, without tenure) will be reviewed by the Dean, School of Medicine.

The final decision shall rest with the ~~p~~Provost.

New appointments: Associate Professor with tenure, Professor with tenure

Criteria

For appointments to the rank of Associate Professor with tenure, the candidate must meet or exceed criteria across all five of the following dimensions. Achievement of these criteria must be clearly addressed in both internal and external documentation.

1. 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 the candidate has made as part of their statement of research and teaching contributions (see Procedures B-1 below).
2. Demonstrated success with obtaining external funding sufficient to support the research effort expected from a tenured faculty member in their specific research area, with a strong likelihood of sustained funding at that level.
3. A strong national/international reputation, including invited participation in major meetings in their field.
4. Significant contributions to teaching.
5. Service to the department and university, as well as participation in interdisciplinary collaborations between departments and/or schools.

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The rank of Professor with tenure is reserved for those who have clearly met the criteria for tenure and have demonstrated continuous intellectual development and leadership since achieving the rank of Associate Professor with tenure.

Procedures

The department ~~C~~hair will appoint a department AP&T committee comprised of at least three, but preferably five, faculty members of rank equal to or higher than the rank sought by the candidate. At least one of those must be from outside the candidate's primary department. Committee members must not be collaborators or mentors of the candidate. Committee members must be approved by the Dean, School of Medicine or the Executive Vice Dean for Basic and Preclinical Science.

The candidate will 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 requirements is

posted on the provost AP&T website (<https://facultyaffairs.provost.duke.edu/appointment-promotion-and-tenure>/<https://facultyaffairs.provost.duke.edu/apt>).

The candidate will present their work in a public seminar within the six months prior to final consideration of their dossier.

The department AP&T committee 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 qualified individuals suggested by the evaluating faculty of the department, 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.

The submitted dossier will be reviewed and discussed by the department AP&T committee at a formal committee meeting. A vote will be taken by ~~secret ballot of~~ committee members, using secret ballots. The results of that vote and the names of faculty voting will be recorded. Decisions of the department AP&T committee are determined by a majority vote.

The department AP&T committee will forward a summary to the department chair regarding the candidate's fitness for appointment to a rank with tenure, aggregate vote of the committee, and names of the faculty members who voted. Included will be the complete dossier, a written committee report describing the scholarship and impact of the candidate's work, comments about significant publications, and statements from other units if applicable. The written evaluation should include an assessment of the candidate's teaching abilities, if possible. It should also describe the candidate's service at their previous institution(s). Where relevant, it should discuss the candidate's contributions to fostering an equitable and inclusive learning and research environment.

A vote of all faculty with tenure in the department of rank equal to or higher than the rank sought by the candidate must be conducted using secret ballots and a tabulation retained of the vote. To be valid, a quorum is required, defined as a majority of eligible voting faculty of the department. A majority of these faculty eligible to vote must approve the appointment. The names of the faculty members present and voting along with a numerical tally of the vote is to be included with the dossier as prescribed by the provost's guidelines.

A letter from the department chair to the Dean, School of Medicine should summarize the search and selection process, including information about the numbers of applications received and interviews conducted. The letter should describe efforts to identify and address any barriers to equal employment opportunity and to cultivate a diverse pool of qualified applicants, ensure that minorities and women were represented in the final pool and provide an explanation of indicate how the candidate's scholarship contributes to fits into the department's overall academic departmental excellence and teaching, mentoring, research, and service plans.

School of Medicine Review

Commented [DMBM4]: Secret sounds a little sneaky to me. Can it be confidential?

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Commented [JF6R5]: Confirmed language with Neera Skurky 11/25/24

Commented [JF7]: Review re Supreme Court decision

New appointment recommendations for faculty candidates at the ranks of Associate Professor with tenure and Professor with tenure will be reviewed by the Dean, School of Medicine.

The final decision shall rest with the provost.

Promotions: Associate Professor with tenure, Professor with tenure

Criteria

For promotion to the rank of Associate Professor with tenure, the candidate must meet or exceed criteria across all five of the following dimensions. Achievement of these criteria must be clearly addressed in both internal and external documentation.

1. 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 the candidate has made as part of their statement of research and teaching contributions (see [Procedures B-5](#) below).
2. Demonstrated success with obtaining external funding sufficient to support the research effort expected from a tenured faculty member in their specific research area, with a strong likelihood of sustained funding at that level.
3. A strong national/international reputation, including invited participation in major meetings in their field.
4. Significant contributions to teaching.
5. Service to the department and university, as well as participation in interdisciplinary collaborations between departments and/or schools.

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The rank of Professor with tenure is reserved for those who have clearly met the criteria for tenure and have demonstrated continuous intellectual development and leadership since achieving the rank of Associate Professor with tenure.

Procedures

The department Chair is responsible for ensuring that the School of Medicine requirements for formal annual faculty review are met. All faculty eligible for promotion or tenure must meet at least annually with the Chair or designee to review their progress toward promotion and be advised of their standing in the department.

Any faculty member may formally request that they be considered for promotion or tenure by submitting a letter to the department Chair.

The faculty candidate for promotion to a rank with tenure shall be notified by the department Chair a minimum of one month in advance of a scheduled departmental AP&T committee review.

The department Chair will appoint a department AP&T committee comprised of at least three, but preferably five, faculty ~~five faculty~~ members of rank equal to or higher than the rank sought by the candidate. At least one of those must be from outside the candidate's primary department. Committee members must not be collaborators or mentors of the candidate. Committee members must be approved by the Dean, School of Medicine or the Executive Vice Dean for Basic and Preclinical Science.

Commented [JF8]: Is it a requirement that there be 5, or can there be 3? Cf smaller depts

Commented [JF9R8]: Leaving as is/reverting to current language pending Abbas discussion with Provost.

The candidate will submit to the department AP&T committee 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 requirements is posted on the provost AP&T website (<https://facultyaffairs.provost.duke.edu/appointment-promotion-and-tenure>/<https://facultyaffairs.provost.duke.edu/apt>).

The candidate will present their work in a public seminar within the six months prior to final consideration of their dossier.

The department AP&T committee 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 qualified individuals suggested by the evaluating faculty of the department, 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.

The submitted dossier will be reviewed and discussed by the department AP&T committee at a formal committee meeting. A vote will be taken by ~~secret ballot of~~ committee members using secret ballots. The results of that vote and the names of faculty voting will be recorded. Decisions of the department AP&T committee are determined by a majority vote.

The department AP&T committee chair will forward a summary to the department Chair regarding the candidate's fitness for promotion to a rank with tenure, aggregate vote of the committee, and names of the faculty members who voted. Included will be the complete dossier, a written committee report describing the scholarship and impact of the candidate's work, comments about significant publications, and statements from other units. The written evaluation should include an assessment of the candidate's teaching abilities, where applicable. It should also describe service that the candidate has provided to the department, school, university or community, and discipline. Where relevant, it should discuss the candidate's contributions to fostering an equitable and inclusive learning and research environment.

Following a positive determination by the department AP&T committee, the complete dossier will be presented to all tenured faculty within the department of rank equal to or higher than the rank sought by the candidate. A ~~secret~~ vote using secret ballots will be taken at a meeting of these faculty members and the results recorded by the department chair together with the names of those faculty members voting. To be valid, a quorum is required, defined as a majority of eligible voting faculty of the department. A majority of these faculty eligible to vote must approve the promotion. The names of the faculty members present and voting along with a

numerical tally of the vote is to be included with the dossier as prescribed by the provost's guidelines. Following the faculty vote, the department Chair will prepare a summary of the candidate's qualifications, the outcome of the departmental vote, names of faculty voting, and the department Chair's personal opinion regarding the candidate's suitability for promotion.

School of Medicine Review

~~In the case of a positive determination by the department, the dossier will be forwarded to the Dean, School of Medicine accompanied by a letter from the department chair detailing the qualifications of the candidate, the vote by the faculty, the names of the faculty voting, and the personal recommendation of the department chair. With a positive department recommendation and concurrence of the Dean, School of Medicine, the dossier will be submitted by the SOM AP&T Office. The SOM AP&T Office will submit the dossier to the provost AP&T Committee for consideration, accompanied by a cover letter to the provost that includes the recommendation of the Dean, School of Medicine.~~

Commented [JF10]: Means faculty vote, not Chair recommendation?

~~When the unit has completed its review, if the department reaches a negative conclusion, the complete dossier chair shall forward the recommendation along with the complete dossier (see section on dossier) of the candidate shall be forwarded, together with the Chair's personal recommendation, to the School of Medicine AP&T Office. The Dean, School of Medicine, shall include a cover letter to the provost that includes their personal recommendation. The AP&T Office shall then forward the complete dossier to the provost, dean, and the dean, in turn, to the provost. Opinions from the Chair and the Dean will be added to the file, but even should such intermediate recommendations be negative, a dossier with a favorable recommendation from the unit must ultimately be forwarded to the provost. The SOM AP&T Office will submit the dossier to the provost AP&T Committee for consideration, accompanied by a cover letter to the provost that includes the recommendation of the Dean, School of Medicine.~~

~~In cases where the department reaches a negative conclusion, if the department reaches an unfavorable decision, the Dean, School of Medicine will be informed and the complete dossier will be forwarded to the School of Medicine AP&T Office for review by the Dean. and the dossier forwarded to the Dean, School of Medicine for review. The dossier will be accompanied by a letter from the department Chair detailing the qualifications of the candidate, the vote by the faculty on the candidate's promotion, the names of the faculty voting, the rationale for the unfavorable decision, and the personal recommendation of the Chair. A negative decision can be appealed by the faculty member by letter to the Dean, School of Medicine within 10 business days of notification. If the decision is reversed to a positive determination, the promotion will be advanced to the provost AP&T Committee according to the procedures for a positive department recommendation. If the decision remains negative, further appeal by the faculty member or department chair can be made to the provost.~~

Commented [DMBM11]: So for confirmation, if Department APT committee declines (negative vote), the dossier does not get sent to the Provost? Only if appealed? If it gets sent, regardless, would add/clarify here

Commented [DMBM12]: This is already stated above, I think you can omit

Commented [DMBM13]: This sounds weird. So the faculty appeals to the Dean, and dean sends to provost?

~~When the review by the basic authorized academic unit (generally a department) reaches a negative conclusion, the chair or director shall inform the dean and the candidate of the decision and the reasons for it. The faculty member may appeal a negative departmental decision once to the provost through the Dean within two weeks of notification; the provost can seek further information and~~

Commented [JF14R13]: That's our understanding from Annette, yes

recommendations from the school and the Provost's Advisory Committee on Appointment, Promotion, and Tenure before making a decision.

University Review

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.

In turn, a positive recommendation of the provost, after consultation with the President, is forwarded to the Board of Trustees for their action.

The provost will communicate to the Dean, School of Medicine the final decision.

The Dean, School of Medicine will in turn notify the department Chair.

The department Chair, in turn, communicates the decision to the candidate.

If the provost reaches a negative decision, the provost will so notify the Dean, School of Medicine. The 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 Dean, School of Medicine who will send the appeal to the provost, along with the Dean's recommendation for disposition. For any individual case, the department or school is limited to one appeal of the decision by the provost.

Expectation of Privacy

All documents contained in the dossier, with the exception of the materials submitted by the candidate, are considered confidential as are the identities 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 (4) the provost, (5) the Provost's Advisory Committee on Appointment, Promotion, and Tenure, (6) the President, and (7) the Board of Trustees. All individuals participating in the appointment, promotion, and tenure process are expected to adhere to this statement regarding confidentiality.

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 to the Provost in Support of Nominations for Faculty Appointments and Promotions with Tenure

The School of Medicine AP&T Office is responsible for administrative support of department AP&T processes. The dossier should be submitted to the designated SOM AP&T Duke Box folder. The department should retain a copy of the complete dossier in its files. The SOM AP&T Office reviews the dossier for completeness before forwarding to the Provost's Office. Copies of the complete list of materials to be submitted by the department in support of nominations for appointments and promotions with tenure are available on the Duke University Faculty Affairs Administration Appointment, Promotion and Tenure website:

<https://facultyaffairs.provost.duke.edu/appointment-promotion-and-tenure>/<https://facultyaffairs.provost.duke.edu/apt>.