

Western University of Health Sciences
College of Pharmacy
Standards for Promotion, Tenure, and Post-Tenure Review of Tenure Track Faculty

I. INTRODUCTION

This document sets forth the criteria and procedural guidelines to be used in the College of Pharmacy for: 1) the appointment of new faculty to the tenure track or with tenure, 2) interim and final reviews toward the recommendation of faculty for promotion and/or tenure, 3) post-tenure review of tenured faculty. Each of these shall be conducted in accordance with the policies of Western University of Health Sciences.

II. DESCRIPTION OF TENURE TRACK PROFESSIONAL DEVELOPMENT

Full Time Tenure-Track Faculty

Full time faculty members in the College of Pharmacy may choose to follow a professional development program which leads to the attainment of a continuous appointment, or tenure. Tenure with all its attendant privileges represents the most significant commitment the University can make to a faculty member; hence, the criteria for tenure consideration includes additional scholarly, teaching, clinical/administrative service, and professional service requirements that are measurable and beyond those criteria for non-tenure track faculty. During the probationary period, tenure track faculty will receive one-year renewable contracts. Additionally, as a means of assuring continual growth and development, performance of tenure-track and tenured faculty in the College of Pharmacy will be evaluated on a yearly basis via the annual faculty evaluation and development process. Requirements and procedures for post-tenure review are outlined in section IV.F. Criteria and procedural guidelines for promotion of non-tenure track faculty are detailed in a separate College document.

III. DEFINITION OF RANKS

A. Assistant Professor

For promotion or appointment to the rank of Assistant Professor, the faculty member should have earned the doctoral degree or equivalent in his or her discipline and shown promise in the areas of teaching, scholarship, clinical/administrative service, and professional service.

B. Associate Professor

For promotion or appointment to the rank of Associate Professor and tenure, the faculty member will be evaluated in four areas: teaching, scholarship, clinical/administrative service, and professional service. The faculty member must meet the criteria for the rank of Assistant Professor, document sustained record of accomplishment¹ in all four areas, and demonstrate

¹ “Sustained record of accomplishment” is defined as the continual growth of a faculty member’s accomplishments toward attaining regional and national recognition, and showing promise toward achieving the level of excellence.

excellence in teaching² and with high standards in scholarship and clinical/administrative service, if applicable.

C. Professor

For promotion or appointment to the rank of Professor, the faculty member will be evaluated in four areas: Teaching, clinical/administrative service, scholarship and professional service. The faculty member must meet the criteria for rank of Associate Professor, document sustained record of accomplishment in all four areas, and demonstrate excellence in teaching² and scholarship³, and with high standards in clinical/administrative service, if applicable.

In addition to fulfilling the expectations noted above with respect to teaching, scholarly activities and professional/clinical service, all appointees in the tenure-track as well as tenured faculty are expected to demonstrate professional collegiality.

IV. POLICIES, CRITERIA AND PROCEDURAL GUIDELINES FOR 1) PROMOTION AND/OR TENURE, 2) INTERIM REVIEW, AND 3) POST-TENURE REVIEW

Promotion and tenure are based on merit and are earned by achievement as evidenced by the faculty member's total contribution to the overall mission of the College. Depending upon the circumstances, promotion and tenure may be considered together or treated as separate issues. In cases where promotion alone is awarded early to a faculty member prior to completion of the tenure track probationary period, the promise of eventual tenure is not implied by the promotion. The performance record of a faculty member being considered for promotion and/or tenure will be evaluated in terms of the following areas: teaching, scholarship, clinical/administrative service, and professional service. Individuals must simultaneously obtain or hold the academic rank of Associate Professor or higher to be awarded tenure. The awarding of tenure is in recognition of past academic and professional achievements and confidence of continued professional development. These faculty members are presumed to be committed to the maintenance of high standards of performance in teaching, continued scholarly contributions to their disciplines, administrative/clinical service, and professional service consistent with their training and background.

While the College as a whole must excel in all of the above areas, individual faculty members may contribute in some areas more than others. Therefore, in evaluating the candidate's qualifications for promotion and/or tenure, reasonable flexibility shall be exercised.

² "Excellence in teaching" is defined as a faculty member who guides students to think purposely and critically, communicates effectively, mentors students to promote the highest standards of professional attitude, keeps informed about new developments in his/her specialty and related fields, strives continuously

³ "Excellence in scholarship and/or service" is defined as the accomplishments of a faculty member's expertise attaining national and international recognition through impact to the profession and/or area of specialty practice, the transferability of the accomplishments, and/or equivalent level of acknowledgement.

A. Policies for Timeline to Awarding of Promotion and/or Tenure

The table below summarizes the timeline for awarding of promotion and/or tenure based on appointment status. Please refer to the respective sections for detailed information.

APPOINTMENT STATUS	PROMOTION AND/OR TENURE CONSIDERATION
Assistant Professor without PTRE	Promotion and Tenure together within 6 year probationary period
Assistant Professor with PTRE	Promotion and Tenure together within 2-4 years
Associate Professor without PTRE	Tenure within 6 year probationary period
Associate Professor with PTRE	Tenure within 2-4 years
Associate Professor with Tenure	Promotion to Full Professor based on criteria, not time frame
Professor without PTRE	Tenure within 6 years
Professor with PTRE	Tenure within 2-4 years

PTRE = Prior Tenure-Relevant Experience

1. Tenure-Track Assistant Professor without PTRE

Full-time tenure track faculty at the Assistant Professor level with no prior tenure-relevant experience typically will be considered for promotion to Associate Professor with tenure only once at the completion of the six-year probationary period following their initial appointment to the College unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from Probationary Period).

In cases of special merit, at the request of a faculty member and with the recommendation of the Dean to the Promotion and Tenure Committee, promotion with tenure may be considered at any time prior to expiration of the full probationary period. Refer to Appendix 1 for the following discussion. In the particular case where a faculty member is considered for both promotion and tenure, the faculty member may receive early promotion with or without tenure. Should the faculty member receive promotion without tenure, or receive neither promotion nor tenure under special merit, the faculty member may be considered for tenure or promotion with tenure again within the six-year probationary period. Thus, the maximum number of times that a faculty member may be considered for tenure or promotion with tenure is twice which must occur within the six-year probationary period.

2. Tenure-Track Assistant Professor with PTRE

Faculty who receive an appointment at the Assistant Professor level with prior tenure-relevant experience may undergo final promotion with tenure review as soon as two years but no later than four years after their initial appointment to the College unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from Probationary Period).

In cases of special merit, at the request of a faculty member and with the recommendation of the Dean to the Promotion and Tenure Committee, promotion with tenure may be considered at any time prior to expiration of the full probationary period. Refer to Appendix 1 for the following discussion. In the particular case where a faculty member is considered for both promotion and tenure, the faculty member may receive early promotion with or without tenure. Should the faculty member receive promotion without tenure, or receive neither promotion nor tenure under special

merit, the faculty member may be considered for tenure or promotion with tenure again within the four-year probationary period. Thus, the maximum number of times that a faculty member may be considered for tenure or promotion with tenure is twice which must occur within the four-year probationary period.

3. Tenure-Track Associate Professor without PTRE

Associate Professor who is not granted tenure at the time of hire and has no prior tenure-relevant experience may undergo final tenure review within the typical six-year probationary period unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from Probationary Period).

In cases of special merit, at the request of a faculty member and with the recommendation of the Dean to the Promotion and Tenure Committee, tenure may be considered at any time prior to expiration of the full probationary period. Refer to Appendix 1 for the following discussion. Should the faculty member receive promotion without tenure, or receive neither promotion nor tenure under special merit, the faculty member may be considered for tenure again within the six-year probationary period. Thus, the maximum number of times that a faculty member may be considered for tenure is twice which must occur within the six-year probationary period. For faculty hired into this particular appointment, promotion to Professor is a separate issue from tenure, but may be considered as a special merit case. Unlike tenure, promotion to Professor is based solely on criteria and does not carry a particular time frame for consideration.

4. Tenure-Track Associate Professor with PTRE

Associate Professor who is not granted tenure at the time of hire but has prior tenure-relevant experience may undergo final tenure review as soon as two years but no later than four years after his/her initial appointment to the College unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from Probationary Period).

In cases of special merit, at the request of a faculty member and with the recommendation of the Dean to the Promotion and Tenure Committee, tenure may be considered at any time prior to expiration of the full probationary period. Refer to Appendix 1 for the following discussion. In the particular case where a faculty member is considered for both promotion and tenure, the faculty member may receive early promotion with or without tenure. Should the faculty member receive promotion without tenure, or receive neither promotion nor tenure under special merit, the faculty member may be considered for tenure again within the four-year probationary period. Thus, the maximum number of times that a faculty member may be considered for tenure is twice which must occur within the four-year probationary period. For faculty hired into this particular appointment, promotion to Professor is a separate issue from tenure, but may be considered as a special merit case. Unlike tenure, promotion to Professor is based solely on criteria and does not carry a particular time frame for consideration.

5. Tenure-Track Professor without PTRE

Professor who is not granted tenure at the time of hire and has no prior tenure-relevant experience may undergo final tenure review after the typical 6-year probationary period unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from Probationary Period).

In cases of special merit, at the request of a faculty member and with the recommendation of the Dean to the Promotion and Tenure Committee, tenure may be considered at any time prior to expiration of the full probationary period. Refer to Appendix 1 for the following discussion. Should the faculty member not receive tenure under special merit, the faculty member may be considered for tenure again, but only at the end of the six-year probationary period. Thus, the

maximum number of times that a faculty member may be considered for tenure is twice which must occur within the six-year probationary period.

6. Tenure-Track Professor with PTRE

Professor who is not granted tenure at the time of hire but has prior tenure-relevant experience may undergo final tenure review as soon as two years but no later than four after their initial appointment to the College unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from Probationary Period).

In cases of special merit, at the request of a faculty member and with the recommendation of the Dean to the Promotion and Tenure Committee, tenure may be considered at any time prior to expiration of the full probationary period. Refer to Appendix 1 for the following discussion. Should the faculty member not receive tenure under special merit, the faculty member may be considered for tenure again, but only at the end of the four-year probationary period. Thus, the maximum number of times that a faculty member may be considered for tenure is twice which must occur within the four-year probationary period.

B Policies for Exclusion of Time from Probationary Period

Tenure-Track faculty members may exclude time from the promotion and tenure schedule in increments of 3 to 6 months in consultation with the Department Chair and the Dean. The request for exclusion to time may include, but not limited to:

1. Care-giving responsibilities associated with the birth of a child or adoption of a child
2. Personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or other factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member; i.e., teaching, clinical/administrative service, scholarship, and professional service
3. Difficulties associated with establishing a new practice site, making significant changes to an existing practice site during the first two years of employment at Western University

All requests for exclusion from time from the promotion schedule must be made in writing to the Department Chair and the Dean at least 6 months prior to the academic year when the review for promotion will occur. The maximum amount of time that can be excluded for any reason or combination of reasons is two years for an Assistant Professor and Associate Professor, except in extraordinary circumstances as determined by the dean. Such extension of the two-year limit requires prior approval of the Department Chair and the Dean. Expectations for productivity cannot be increased as a consequence of exclusion time granted under the terms of this section.

A request to exclude time for any reason will not be granted after a non-renewal notice has been issued, nor will previously approved requests to exclude time from the promotion schedule in any way limit the University's right not to renew an employment contract.

For purposes of promotion and /or tenure, the actual number of years of employment at this university minus the exclusion time under the terms of this rule will be considered.

C Policies for Initial Faculty Appointments with Promotion and/or Tenure

A candidate for a faculty position may request of the Dean a promotion and/or tenure in rank during initial negotiations. The request shall be forwarded to the P&T Committee for their review and recommendation prior to the completion of final negotiations. The criteria outlined in this document under section III & IV will be used in this review process. If necessary, the Committee may request additional information beyond the candidate's CV to thoroughly evaluate the

candidate's qualifications relative to the request for promotion. Prior tenure-relevant experience granted at initial negotiation should be at least 2 years and no more than 4 years.

D. Procedural Guidelines for Promotion and/or Tenure Review

All faculty members being considered for promotion with tenure from Assistant Professor to Associate Professor will undergo an interim review at his/her 4th year of employment and a final review at his/her 6th year of employment, unless exclusion of time from promotion schedule, PTRE, or special merit has been granted. The basis for recommending promotion and/or tenure includes yearly review of faculty performance as provided for in the Annual Faculty Evaluation and Development Document (AFEDD), and the interim review and final review conducted by the P&T Committee. Promotion from Associate Professor to Professor is based solely on criteria and does not carry a particular time frame for consideration. An interim review will not be conducted for faculty promotion from Associate Professor to Professor. For successively higher levels of faculty rank, higher levels of achievement are expected as outlined in Section III. All faculty members should consult the timeline summary table under Section IV.A for appropriate promotion and/or tenure review schedule.

1. Interim Review

Approximately three years prior to anticipated promotion and/or tenure, all faculty members will be notified by the Department Chair to submit a dossier for an interim review. Faculty should consult with the Department Chair using the ***Faculty Promotion and/or Tenure Time Table*** to guide for appropriate submission schedule.

For the interim review, the faculty member must provide an interim review dossier on Blackboard® (or other approved electronic interface) and inform the Department Chair in writing by August 1st of the assigned year. The Department Chair will inform the P&T committee in writing to initiate the interim review. A faculty member who fails to submit a complete dossier by August 31st of the assigned year without prior exemption by the Department Chair will waive the right to the interim review. The faculty member will only receive a promotion and/or tenure final review.

The interim review dossier consists of:

- 1) Current curriculum vitae in the required format as indicated in Appendix II
- 2) A personal statement
- 3) Portfolios in the areas of: teaching, clinical /administrative service, scholarship, and professional service
- 4) Distribution of Effort (DOE)/Annual Faculty Evaluation and Development Document (AFEDD) of all years of employment
(Refer to Dossier Checklist in Appendix III for detailed information; no hard copy of the dossier is needed)

The P&T Committee will evaluate the dossier for completeness. If the dossier is deemed to be incomplete, the P&T Committee will request that the faculty candidate provide further documentation to complete the dossier. Internal or external letters of recommendation will not be required for this evaluation process.

Subsequent to this review, the P&T Committee will provide a written interim review report including recommendations no later than January of the following year to the Department Chair, the Dean and the faculty member. The Department Chair, the Chair of the P&T Committee and the faculty member will meet jointly to review the written interim review report. The interim review report will be added to the faculty member's

personnel file. The dossier on the Blackboard™ will be purged following the completion of the interim review.

2. Final Review

For final review, the faculty member must post a final review dossier on Blackboard™ (or other approved electronic interface) and inform the Department Chair in writing by January 7 of the assigned year. The Department Chair will inform the P&T Committee in writing to initiate the final review. Following final review, promotion and/or tenure towards a potential appointment will be effective July 1st of the same year.

The final review dossier consists of:

- 1) Current curriculum vitae in the required format as indicated in Appendix II
- 2) A personal statement
- 3) Portfolios in the areas of: teaching, clinical /administrative services; scholarship, and professional services
- 4) DOE/AFEDD of all years of employment (These documents will not be accessible by the external reviewers)
- 5) A list of 4 external peer reviewers
- 6) Do NOT include the interim review report
(Refer to Dossier Checklist in Appendix III for content details, no hard copy is needed)

The P&T Committee will evaluate the dossier for completeness. If the dossier is deemed to be incomplete, the P&T Committee will request that the faculty candidate provide further documentation to complete the dossier. The P&T Committee will arrange access of the final review dossier and a copy of the interim report to the Associate Deans of Academic and Student Affairs and Department Chairs in the College of Pharmacy to request letters of recommendation. All Associate Professors and Professors within the respective department of the faculty candidate who are NOT members of the P&T Committee will be asked by the Chair of the P&T Committee to provide input and state whether they are in favor or not in favor of the faculty candidate's promotion and/or tenure. A summary report will be provided by the Chair of the P&T Committee to the P&T Committee. A copy of the faculty's CV and personal statement will be provided to all the Associate Professors and Professors within the respective department of the faculty candidate. All letters and the summary report will remain in confidence with the P&T Committee only.

In addition to the list of external reviewers provided by the faculty candidate, the P&T Committee will develop a separate list of external peer reviewers. Reviewers providing letters of recommendation must hold a rank that is equal to or higher than the rank that is being sought by the candidate. These reviewers must be capable of rendering an objective opinion regarding the candidate's merit for promotion and/or tenure. A total of six to eight appropriate individuals capable of evaluating the candidate will be selected. A minimum of six letters of recommendation from external reviewers will be required for inclusion in the candidate's dossier; two of the six letters may be obtained from peer reviewers identified by the candidate. The P&T Committee will provide the external reviewers access to the candidate's dossier via Blackboard™ (or other approved electronic interface). The College of Pharmacy's *Standards for Promotion, Tenure, and Post-Tenure Review of Tenure Track Faculty*, the candidate's CV and personal statement will also be provided to the external reviewers via e-mail with the request for promotion and/or tenure recommendation. The faculty member's interim review report will NOT be included in the dossier accessible by the external reviewers. Each reviewer shall be instructed to base his/her recommendation on documented achievements and the College of Pharmacy promotion and/or tenure criteria. These letters will remain confidential with the P&T Committee only.

The candidate may provide additional updated information to the Chair of the P&T Committee after the initial submission of his/her dossier prior to its final review evaluation, and recommendation. However, the acceptance of the updated information will depend on the review status at the time of submission.

For the final review, the P&T Committee will utilize the candidate’s interim review report as the core document in addition to the updated information provided by the candidate in his/her CV, personal statement, and other information in the final review dossier to assess for continual growth and efforts in improvement from the interim review. In addition, all the letters of recommendation from internal and external reviewers, and the summary report reflecting the departmental faculty input and votes will be taken into consideration for the final recommendations and voting by the P&T Committee. All tenured members of the P&T Committee, except the Chair, are required to vote in favor or not in favor of the promotion and/or tenure. The Chair of the P&T Committee will only provide his/her vote should there be a tie in the voting of the committee members.

At the completion of the final review, the P&T Committee will prepare a written report, including a summary of the votes of the P&T Committee, the Committee recommendations and a basis for those recommendations. The complete dossier, including the P&T Committee written report, will be forwarded to the Dean before April 1st of the assigned year. The Dean will prepare and submit a written recommendation in addition to the P&T Committee written report, and the candidate’s dossier to the Provost and Chief Operating Officer for further actions.

The Provost/Chief Operating Officer must approve all recommendations for promotion and/or tenure. If promotion and tenure is awarded at the end of this process, a contract of continuous duration may be offered. If promotion and tenure is not awarded at the end of this process, the faculty member will be offered a one-year terminal contract. The faculty member has the right to an appeal through the Grievance Procedure as outlined in the Faculty Handbook.

Upon completion of the promotion and/or tenure process and after a final decision has been made, a copy of the candidate's dossier will be archived electronically by the Dean’s office.

E. Criteria and Documentation for Promotion and/or Tenure

This table contains abbreviations used throughout section IV.E

Abbreviation	Definition
AFEDD	Annual Faculty Evaluation and Development Document
ASP	Administrative Service Portfolio
CC	Curriculum Committee
CSP	Clinical Service Portfolio
CQI	Continuous Quality Improvement
CV	Curriculum Vitae
DOE	Distribution of Effort
FOD	Faculty Orientation and Development Committee
LOR	Letter of Recommendation
JD	Job Description
PR	Public Relations
PS	Personal Statement
PSP	Professional Service Portfolio

SAP	Scholarly Activity Portfolio
TP	Teaching Portfolio

1. Teaching

Teaching refers to the broad area of student-faculty interactions for educational purposes including preceptorship and other practice-related teaching.

Principal Criteria and Documentation for the Assessment of Teaching (also see Dossier Checklist in Appendix II)

CRITERIA	DOCUMENTATION
Fulfillment of didactic, experiential, clinical, residents/fellows and graduate teaching responsibilities	PS, CV, DOE, AFEDD, CSP, TP
Mastery of subject matter	Peer evaluations, TP, LOR, PS
Effective communications	Student and peer evaluations, TP, LOR, PS
Effective student mentoring	Associate Dean for Academic Affairs, Department Chair, student and peer evaluations, LOR, PS
Professional attitude	LOR, Student and peer evaluations, PS
Continued development of teaching methods, techniques and block content	AFEDD, workshops/support via FOD, CC CQI, TP, PS
Development of new blocks or programs	AFEDD, FOD, CC CQI, TP/CSP, PS
Formulation and implementation of innovative teaching approaches	AFEDD, FOD, CC CQI, TP/CSP, PS

2. Scholarship

Scholarship refers to research and other creative endeavors that are peer-reviewed and which lead to significant advances in new information and knowledge. These endeavors may be conducted in many different environments, including the research laboratory, the classroom, and the patient care setting.

Principal Criteria and Documentation for the Assessment of Scholarship (also see Dossier Checklist in Appendix III)

CRITERIA	DOCUMENTATION
Presentations including seminars, invited seminars, competitive and non-competitive professional meeting abstracts	CV, AFEDD, LOR, SAP (evaluations if available)
Publications: lead, secondary or senior author; peer and non-peer reviewed	CV AFEDD, LOR, SAP (hard copies of all publications)
Grants, contracts, patents, and investigator-initiated clinical trials: PI, Co-I, consultant, intramural, extramural	CV, AFEDD, LOR, SAP (provide copies of cover sheet for all grants, contracts, patents and clinical trials; reflective narrative including description of significant contributions)

3. Clinical /Administrative Service

Clinical Service refers to efforts devoted to patient and/or population care, as well as consultations, drug information services and education to health care providers and patients.

Administrative Service refers to the efforts devoted to administrative functions within the College that may potentially affect the candidates' clinical service portfolio. Administrative functions may be defined as service to the College or University in a capacity that impacts the governance of the college or university. Administrative positions would include regional coordinators, directors, department chairs, assistant/associate deans and/or any new position deemed "administrative" by the Dean.

Principal Criteria and Documentation for the Assessment of Clinical Service and Administrative Service (also see Dossier Checklist in Appendix II)

CRITERIA FOR CLINICAL SERVICE	DOCUMENTATION
Contributions to the health care system <ul style="list-style-type: none"> ▪ Pharmacy and medical staff relationships ▪ Practice site development ▪ Activities that impact on patient care ▪ Professional credibility/respect ▪ Role model for staff and students 	AFEDD, LOR, CSP , PS
Formulation, implementation, and sustaining an innovative practice model or clinical service	AFEDD, CV, LOR, CSP, PS, SAP
Educational programs <ul style="list-style-type: none"> ▪ Precepting residents/fellows ▪ Staff development lectures ▪ CE programs 	AFEDD, CV, DOE, LOR, CSP, PS, SAP
Conduct clinical research projects	AFEDD, CV, DOE, LOR, CSP, PS, SAP

CRITERIA FOR ADMINISTRATIVE SERVICE	DOCUMENTATION
<ul style="list-style-type: none"> ▪ Contributions to the governance of the college or the University ▪ Responsibilities specific to the position as described in the job description 	AFEDD, LOR, PS, CSP, DOE, JD

4. Professional Service

Professional Service refers to the work that a faculty member performs for the College, Western University, non-Western University institutions, professional organizations, and the public.

Principal Criteria and Documentation for the Assessment of Professional Service (also see Dossier Checklist in Appendix III)

CRITERIA	DOCUMENTATION
Committee leadership, participation, activities and policy development	CV, DOE, PS, AFEDD, PSP (plaques, certificates)
Community programs (health/science related including health fairs, professional/career development days, judging science fairs, public relations)	CV, DOE, PS, AFEDD, LOR, PSP (evaluation if available, brochures)
Consultantships: editorial/advisory board, journal reviewer	CV, DOE, PS, AFEDD, PSP (letters of appointment/recognition)
Honors/awards	CV, AFEDD, PS, PSP (letters of recognition)

5. Collegiality

Collegiality refers to the professional criteria relating to the performance of a faculty member's duties.

Principal Criteria and Documentation for the Assessment of Collegiality (also see Dossier Checklist in Appendix III)

CRITERIA	DOCUMENTATION
Recognition through elected and/or appointed positions	AFEDD, CV, DOE, LOR, PS
Collaborative efforts	AFEDD, CV, LOR, PS
Engagement in shared academic and administrative tasks	AFEDD, CV, LOR, PS
Professionalism and integrity	AFEDD, LOR, PS
Mentorship	AFEDD, CV, LOR, PS

F. Procedural Guidelines for Post-Tenure Review

As outlined in the College of Pharmacy's Annual Faculty Evaluation and Development document, all faculty members must participate in an annual evaluation and development process. This process is goal oriented and ensures that each faculty member:

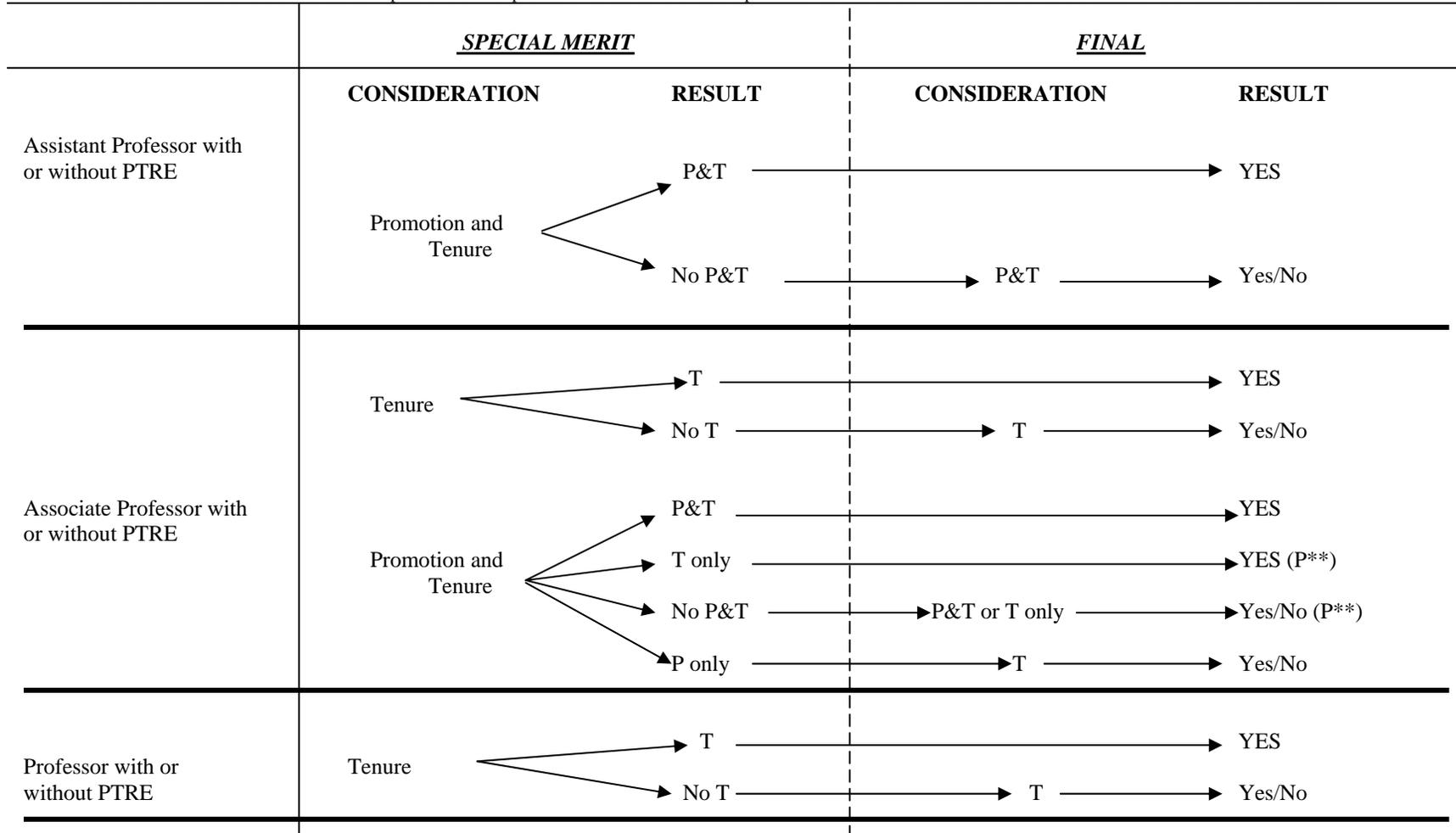
- 1) establishes and accomplishes goals and objectives that contribute to Western University of Health Sciences mission, vision, values, and goals
- 2) is provided the opportunity for personal and professional growth and development, thereby making him/her more effective in the job, and
- 3) understands the continual expectation for professional growth, productivity and achievement in teaching, clinical /administrative service, scholarship, professional service, and collegiality.

1. In accordance with the Faculty handbook, all tenured faculty members will undergo a post tenure review at least every 6 years after the tenure is granted. The primary goal of this post-tenure review process is to support professional renewal. The faculty candidate is required to submit an updated C.V. with or without a personal statement to the Promotion and Tenure Committee for review. After the Promotion and Tenure Committee reviews the documents submitted, the committee will forward recommendations to the dean, the department Chair, and the faculty member.
2. Tenured faculty with three consecutive years of inadequate performance and inadequate contributions to the College and University as documented in the annual performance reviews, will be required to go through a post tenure review process. Once it is determined by the Dean that a formal post-tenure review process is needed, a letter will be sent to the faculty member with copies to the Department Chair and the P&T Committee. This letter will detail the inadequacies/deficiencies of the faculty member with recommendations for steps to be taken to address the inadequacies/deficiencies and to support professional renewal. In consultation with the Dean, the Department Chair, and the appropriate Assistant/Associate Deans as well as with support from the Faculty Orientation and Development Committee, the faculty member will develop a specific action plan to address the inadequacies/deficiencies. Following a reasonable time frame (as developed in the action plan, but no more than 2 years), the P&T Committee will review the progress of the faculty member by conducting a preliminary review as described above in section IV.D.2, with the faculty member providing a complete dossier. Outside letters will NOT be required for the review process; however, input from the Assistant/Associate Deans, Department Chairs as well as tenured faculty in the College of Pharmacy will be requested. If it is determined that the inadequacies/deficiencies have been addressed satisfactorily, the post-tenure review process will be deemed completed, and a letter will be sent to the faculty member and the Dean stating that the faculty member

has made significant progress towards professional renewal. However, if it is determined that satisfactory progress has not been made towards addressing the inadequacies/deficiencies, the P&T Committee will generate and provide a written report to the faculty member as to the nature of any continuing and/or additional inadequacies and deficiencies. The report will also include recommendations to address the inadequacies/deficiencies towards professional renewal. The faculty member will be required to submit a modified action plan within 4 weeks to the P&T Committee. The faculty member's dossier and modified action plan along with the P&T Committee's written report will be forwarded to the Dean for review and for any additional action that the Dean deems necessary. Following a reasonable time frame (as defined in the modified action plan, but no more than 2 years), the P&T Committee will require the faculty member to go through a final review process as outlined above in section IV.D.2, excluding requests for outside review letters. Subsequent to this final review, if it is determined that the inadequacies/deficiencies have been addressed satisfactorily, the post-tenure review process will be deemed completed, and a letter will be sent to the faculty member and the Dean stating that the faculty member has made significant progress towards professional renewal. However, should the P&T Committee find that the faculty member has not improved his/her performance in accordance with the action plan, the P&T Committee will recommend termination of appointment. The basis for the recommendation will be provided to the Dean in a written report along with the faculty member's complete dossier.

In accordance with the Faculty Handbook, The Dean and the Provost/Chief Operating Officer may take such actions as outlined above in section IV.D. regarding the final decision on the faculty member's appointment status. The faculty member may appeal the decision using the Grievance Procedure outlined in the Faculty Handbook.

Appendix I. Flow-diagram for considering faculty for early promotion and/or tenure based on special merit. This diagram provides the possible results of special merit considerations and how these results impact on the final promotion and/or tenure review process. Refer to text of Promotion and Tenure document for detailed discussion.



**P - Promotion to Professor has no limitation on the timeline or number of times that a faculty member may be considered for promotion to that rank.

CURRICULUM VITAE

Name and Degree

I. PERSONAL INFORMATION

Business Address:
Business Telephone:
Business FAX:
Email Address:
Home Address: (optional)
Home Telephone: (optional)
Social Security Number:

II. ACADEMIC CREDENTIALS

Year	Degree	Institution
(Most recent first)	(Highest first)	

III. OTHER PROFESSIONAL EXPERIENCES (Postdoctoral fellowships/residencies)

Year	Title	Institution
(Most recent first)	(Highest first)	

IV. LICENSURE (for registered Pharmacist)

Year	Name of the Board of Pharmacy	RPH #
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V. BOARD CERTIFICATION

Year	Name of Certificate/Organization	Certificate #
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VI. ACADEMIC APPOINTMENTS AND PROMOTIONS

Year	Title	Institution
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VII. NON-ACADEMIC PROFESSIONAL APPOINTMENTS (Hospital/ clinical / industry/government)

Year	Title	Institution/Organization
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VIII. TEACHING ACTIVITY

a. College

Didactic: For each course fill out the following information

Date	Role in course (Lecturer and/or Facilitator)	Hours Taught (Please do not state # hours for facilitation, # hours should be identify with lectures and/or in-class teaching activities, such as case studies)	Title of course: Title of lecture
------	----------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------

Clerkship: For each rotation fill out the following information

Date	Role (Preceptor)	# of students	Title of course (e.g. IX, IC, AX, AC, SE, AE)
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Preceptorship (Residents, Fellows)

Year	Role (Preceptor)	Title of Program/Project
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b. Others

IX. ADVISING ACTIVITY

Team Mentoring

Year	Class Year/Team name
------	----------------------

Research Students Supervised

Year	Name of Project (if applicable)
------	----------------------------------

Graduate

Undergraduate

Graduate Student Committee Member

Undergraduate Student Research Supervisor

Medical Student Research Supervisor

Other

X. PROFESSIONAL SERVICE

Institutional Committees: (year, Name of Committee, Role in Committee)

College

University

Health Care Centers

Professional Organizations: (year, Name of organization, Role in organization)

Membership and Committee leadership/participation/activities

Public Service

Consultant Activity

Advisory Board

Journal Referee

Grant Reviewer

Editorial Board Member

Other

XI. SPECIAL ASSIGNMENTS

XII. HONORS

XIII. INVITED PRESENTATIONS

Categorize as International, National, State, and Local

Date	Title of presentation	Organization/Institution	Location	Audience	CE units
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XIV. RESEARCH AND/OR CREATIVE PRODUCTIVITY

Research Grant Information

"Title", Agency, PI/Co-I/etc, amount of award, approved/not approved, funded/not funded, grant award period, intramural/extramural

Publications

Published or accepted (*for each category list most recent to least recent*).

Use the following format: "All authors. Title, Journal (full name). Year, volume, page nos."

e.g.

1. Brocks DR, Wong-Beringer A. The best way to present your C.V. Journal of Displacement. 2000, 20,165-169.

Journal articles

- Peer reviewed
- Non-peer reviewed

Use the following format: "All authors. Title, Journal (full name). Year, volume, page nos."

- Publications: submitted. Provide authors, title, journal and date submitted

Chapters in Books

Use the following format: Author(s), Chapter Title. In: Book Title, City: Publishing Co., year, pp.

e.g.

1. Wong-Beringer A and Brocks DR. The best way to write a book. In: Writing books; A critical bibliographic review. Editor; Betageri G.V. London: Academical Press. 2000, pp. 87-142.

Abstracts (Specify if Platform or Poster Presentations)

Invited papers in published conference proceedings and abstracts. Use format of journal articles given above.

Contributed papers in published conference proceedings and abstracts

√	Title	Content Checklist	Content Guidelines
	<p>Personal Statement is defined as a candidate's description and assessment of his/her professional development in the four areas of evaluation</p>	<p>Headings</p> <ul style="list-style-type: none"> ▪ Teaching ▪ Scholarly and research activities ▪ Clinical or Administrative service ▪ Professional Service ▪ Summary ▪ Future Plans <p>Format</p> <ul style="list-style-type: none"> ▪ No more than 10 pages in length ▪ Single or double space ▪ Font size no less than 10 ▪ Margins 1 inch all around 	<ul style="list-style-type: none"> ▪ Self narration of professional development. ▪ Highlights of professional accomplishments and barriers, impact on the profession, etc. ▪ Present a balanced view detailing personal strengths and areas for improvement ▪ A summary of progression of teaching evaluations is highly recommended ▪ Include personal philosophies of teaching, research and service, and how each fits into the picture of the individual's academic career and maturation ▪ Reflection on future directions and future plans for professional growth
	Curriculum Vitae		Refer to Appendix I for required format
	Distribution of Effort (DOE) & Annual Faculty Evaluation and Development Document (AFEDD)		<ul style="list-style-type: none"> ▪ Include all copies of DOE/AFEDD ▪ Recommendation: Create a course document titled "Introduction" to include personal statement, CV, and all copies of DOE/AFEDD
	Teaching Portfolio	<p>Headings</p> <p>Didactic: (WU COP)</p> <ul style="list-style-type: none"> ▪ Course syllabus ▪ Lecture materials ▪ Case studies or class exercises ▪ Examinations ▪ Teaching evaluations <p>Experiential: (WU COP)</p> <ul style="list-style-type: none"> ▪ Rotation syllabus ▪ Preceptor Evaluation Summary <p>Graduate or Post-graduate training: (WU COP)</p> <ul style="list-style-type: none"> ▪ Course or program syllabus ▪ Teaching materials ▪ Projects completed ▪ Evaluations <p>Others: (non-WU COP)</p> <ul style="list-style-type: none"> ▪ Course or lecture syllabus ▪ Lecture materials ▪ Evaluations <p>Advising activities :</p> <ul style="list-style-type: none"> ▪ Any pertinent document 	<ul style="list-style-type: none"> ▪ Include ONLY WU COP course syllabus and lecture materials of the most recent academic year (exception: may include materials from previous years as necessary to highlight continual quality improvements) ▪ Complete copies of student evaluations for all WU courses and years ▪ At least 1 peer evaluation is highly recommended ▪ Complete copies of all WU COP post block evaluations ▪ Include ONLY the most recent version of WU COP clinical rotation syllabus ▪ Summary of site and preceptor evaluations for all years ▪ Other didactic, clinical, graduate and post-grad teaching syllabus, lecture materials, projects and evaluations ▪ Letters or certifications of support and/or appreciation ▪ Special projects, honors/awards relating to teaching
	Clinical Service	Headings	<ul style="list-style-type: none"> ▪ Site/service evaluations, if available

	Portfolio	<ul style="list-style-type: none"> ▪ Job/practice description ▪ Service evaluations, if available ▪ Documentations of service/projects ▪ Letter or certification of Support and/or appreciation 	<ul style="list-style-type: none"> ▪ Clinical/administrative projects performed at clinical practice site ▪ Committee role at practice site ▪ Letters or certifications of support and/or appreciation from peers, collaborators, patients, etc. ▪ Special projects, research, presentations, and honors/awards relating to clinical services ▪ Syllabus, lecture materials, and evaluation (if available) of all educational programs provided at practice site
	Administrative Service Portfolio (For faculty with administrative title only)	<u>Headings</u> <ul style="list-style-type: none"> ▪ Job description ▪ Service evaluations, if applicable and/or available ▪ Documentations of service/projects ▪ Letter or certification of support and/or appreciation 	<ul style="list-style-type: none"> ▪ Site/service evaluations, if applicable ▪ Copies of administrative projects performed (e.g. CQI, policy and procedures) ▪ Letters or certifications of support and/or appreciation ▪ Special projects, research, presentations, and honors/awards relating to administrative services
	Scholarship Portfolio	<u>Headings</u> <ul style="list-style-type: none"> ▪ Invited presentations ▪ Research ▪ Publications ▪ Abstracts ▪ Platform or Poster presentations 	<ul style="list-style-type: none"> ▪ All presentation syllabus, lecture materials and evaluations (if available) including seminars, invited seminars, all competitive and non-competitive professional meeting abstracts ▪ All abstracts, poster presentations, and published manuscripts ▪ All research protocols, grants and contracts ▪ A summary chart to outline all research protocols, sponsor information, grants awarded and grants received is highly recommended ▪ Inclusion of grant scores, reviewer comments, etc. are highly recommended
	Professional Service Portfolio	<u>Headings</u> <ul style="list-style-type: none"> ▪ College of Pharmacy ▪ University ▪ Health Care Center (Practice site) ▪ Professional Organizations ▪ Community Programs ▪ Public Service ▪ Consultant Activity 	<ul style="list-style-type: none"> ▪ Appointment and/or appreciation letters ▪ Special projects, activities, policy development, etc ▪ Community program participation documentations ▪ Documentation of consultantships, editorial/advisory board, journal reviewer (confidential information must be de-identified prior to placing material on Blackboard) ▪ Honors and awards
	List of External Reviewers (For Final Review only)	<ul style="list-style-type: none"> ▪ Name ▪ Title ▪ Qualifications ▪ Contact information ▪ A brief description of the professional relationship to each of the reviewer 	<ul style="list-style-type: none"> ▪ It is preferable to send this file directly to the P&T Committee chair by e-mail. ▪ The faculty should contact each of the reviewers prior to submitting his/her name to the P&T Committee.
	Letter(s) of Support		<ul style="list-style-type: none"> ▪ Optional, include documents in the appropriate areas of evaluation if possible

Please remember that items listed under “Content Guidelines” are not all inclusive. If you have any additional information beyond the listed items for any category, please feel free to include them.

Some Helpful Hints to aid faculty in setting up a dossier for review by the P&T committee.

1. Start building your dossier from the beginning; maintain copies of documentation for all professional activities, including letter of recognition from peers and patients, etc.
2. When you receive notification from the department chair that you are due for an interim review, request to set up an account from Jerry Kellogg or Frances Kolarz in Bb for posting your dossier.
3. Timelines for Promotion and/or Tenure submission from Assistant to Associate Professor are summarized below*:

Date	Action
February of 3 th year of employment	Department Chair will notify faculty of interim review
August 1st of 4 th year of employment (Faculty members who are hired from January to June may have the option to submit interim review dossier on August of 5 th year of employment and receive final review in Spring of 7 th year)	Submission of dossier to department chair who will forward dossier to P&T Committee
January of 4 th year of employment	<ul style="list-style-type: none"> ▪ P&T Committee completes interim review and forward recommendation to Dean. ▪ Faculty member receives interim review report from Dean. ▪ Faculty member may request meeting with department chair and P&T committee chair to review interim report content.
January of 6 th year of employment	Faculty submits final review dossier to department chair who will forward dossier to P&T Committee
Before April 1st of 6 th year of employment	<ul style="list-style-type: none"> ▪ P&T committee forwards recommendation to Dean. ▪ Faculty receives final review report.

Exceptions:

- i. *Associate professor*
 - ii. *Part-time faculty*
 - iii. *Faculty who obtained prior tenure relevant experience, transferred tracks, or requested exclusion of time.*
4. Create 1 course document folder each for the following titles: Introduction (CV, Personal Statement, & DOE/AFEDD), Teaching Portfolio, Clinical Service and/or Administrative Service Portfolio, Scholarship Portfolio, and Professional Service Portfolio. Additional letters of appreciation/support that do not fit into any of the portfolios above can be placed in a separate file.
 5. Any changes/updates made to the initial dossier must be communicated to the Chair of P&T Committee via email.
 6. For final review, you need to submit a list of 4 external reviewers that you have contacted and agreed to review your dossier. The reviewers are given approximately 6 weeks to complete the review. The submission should include the name, title, qualifications, and contact information of the reviewers. A brief description of the relationship between the faculty member and each reviewer is required.

Approved by the faculty of the College of Pharmacy on October 18, 2007

Edited to comply with University Faculty Handbook December 2007.

Edited by Board of Trustees Subcommittee, February 25, 2008.

Approved by Provost, March 11, 2009

Ref: Faculty Handbook Supplement, College of Pharmacy 3-12-08

Western University of Health Sciences
College of Pharmacy
Standards for Promotion and Post-Promotion Review of Non-Tenure Track Faculty

I. INTRODUCTION

This document sets forth the criteria and procedural guidelines to be used in the College of Pharmacy for: 1) the appointment of new faculty to the non-tenure track, 2) interim and final reviews toward the recommendation of faculty for promotion and 3) continual review of non-tenured faculty. Each of these shall be conducted in accordance with the policies of Western University of Health Sciences.

II. DESCRIPTION OF NON-TENURE TRACK PROFESSIONAL DEVELOPMENT

A. Category of Non-Tenure Track Faculty

1. Voting Faculty (50% or more FTE)

Voting faculty members in the College of Pharmacy will follow a professional development program that is evaluated on a predetermined schedule for promotion and continual review, but does not lead to tenure. Non-tenure track faculty will receive one-year renewable contracts. Additionally, as a means of assuring continual growth and development, performance of non-tenure track faculty in the College of Pharmacy will be evaluated on a yearly basis via the annual faculty evaluation and development process. Requirements and procedures for continual review are outlined in section IV. Criteria and procedural guidelines for promotion and tenure of tenure track faculty are detailed in a separate College document.

2. Non-Voting Faculty (less than 50% FTE)

Non-voting faculty will follow a program for professional development with no restrictive time frame.

B. Transfer from Non-Tenure Track to Tenure Track Appointment

Faculty members who wish to transfer from a non-tenure track appointment to a tenure track appointment are required to submit the request within 3 years from the date of hire minus any exclusion of time. The request must be submitted in writing to the Department Chair no later than January 7 for review and recommendation towards an effective appointment date of July 1 of the same year. A decision will be made within 3 months of submitting the request, and will be communicated by the Dean to the faculty member and the P & T Committee in writing. A maximum of two years obtained under the non-tenure track option may be applied to the tenure track probationary period. The request to apply years served on the non-tenure track to the probationary period for tenure must be made along with the request to transfer to the tenure track. Otherwise, the probationary period for tenure consideration will begin with the date of the new appointment. Request for track transfer can only occur once during the employment period.

III. DEFINITION OF RANKS

A. Instructor

The rank of Instructor should be used for a salaried faculty member who contributes to the teaching mission of the College. An Instructor can be promoted to the rank of Assistant Professor by showing promise in the areas of teaching, scholarship and service.

B. Assistant Professor

For promotion or appointment to the rank of Assistant Professor, the faculty member should have earned the doctoral degree or equivalent in his or her discipline or profession and showed promise in the areas of teaching, clinical/administrative service, scholarship and professional service.

C. Associate Professor

For promotion or appointment to the rank of Associate Professor, the faculty member will be evaluated in four areas: Teaching, clinical/administrative service, scholarship and professional service. The faculty member must meet the criteria for the rank of Assistant Professor, document sustained records of accomplishment⁴ in all four areas, and demonstrate excellence in teaching⁵ and with high standards in either scholarship or clinical/administrative service.

D. Professor

For promotion or appointment to the rank of Professor, the faculty member will be evaluated in four areas: Teaching, clinical/administrative service, scholarship and professional service. The faculty member must meet the criteria for the rank of Associate Professor, document sustained record of accomplishment¹ in all four areas, and demonstrate excellence in teaching² and either scholarship or clinical/administrative service⁶. Depending on whether scholarship or clinical/administrative is being selected by the faculty candidate for the demonstration in excellence, the remaining category must be achieved with high standards

In addition to fulfilling the expectations noted above with respect to teaching, clinical/administrative service, scholarship and professional service, all appointees in the non-tenure track faculty are expected to demonstrate professional collegiality.

IV. POLICIES, CRITERIA, AND PROCEDURAL GUIDELINES FOR PROMOTION, INTERIM REVIEWS, AND CONTINUAL REVIEW

⁴ “Sustained record of accomplishment” is demonstrated by the continual growth of a faculty member’s accomplishments attaining regional and national recognition, and showing promise toward achieving the level of excellence.

⁵ “Excellence in teaching” is demonstrated by a faculty member who guides students to think purposely and critically, communicates effectively, mentors students to promote the highest standards of professional attitude, keeps informed about new developments in his/her specialty and related fields, strives continuously to broaden and deepen his/her knowledge, formulates and implements innovative teaching approaches, and continually contributes to improving the methods of teaching his/her subject matter.

⁶ “Excellence in scholarship and/or service” is demonstrated by the accomplishments of a faculty member’s expertise attaining national and international recognition through impact to the profession and/or area of specialty practice, the transferability of the accomplishments, and/or equivalent level of acknowledgement.

Promotion is based on merit and is earned by achievement as evidenced by the faculty member's total contribution to the overall mission of the College. The performance record of a faculty member being considered for promotion will be evaluated in terms of the following areas: Teaching, clinical/administrative service, scholarship and professional service. While the College as a whole must excel in all of the above areas, individual faculty members may contribute in some areas more than in other areas. Therefore, in evaluating the candidate's qualifications for promotion, reasonable flexibility shall be exercised. All faculty, however, are expected to demonstrate professional collegiality.

Policies for Timeline to Awarding of Promotion

1. Assistant Professor

Voting Faculty (50% or more FTE)

Voting non-tenure track faculty members at the Assistant Professor level with no prior relevant experience will be considered for promotion to Associate Professor during the sixth year of employment unless there has been an extension granted (Section IV.B, Policies for Exclusion of Time from the Promotion Schedule).

In cases of special merit, with the recommendation of the Dean to the P&T Committee, promotion may be considered after 4 years.

Non-voting Faculty (less than 50% FTE)

Part-time faculty will follow a program for professional development with no restrictive time frame.

2. Associate Professor

Faculty who receive a non-tenured appointment at the Associate Professor level may proceed with processes towards promotion to full Professor. Promotion to Professor is based solely on criteria and does not carry a particular time frame for consideration.

B. Policies for Exclusion of Time from the Promotion Schedule

Non-Tenure Track Assistant Professor faculty members may exclude time from the promotion schedule in increments of 3 to 6 months in consultation with the Department Chair and the Dean. The request for exclusion to time may include, but not limited to:

1. Care-giving responsibilities associated with the birth of a child or adoption of a child
2. Personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or other factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member; i.e., teaching, clinical/administrative service, scholarship, and professional service
3. Difficulties associated with establishing a new practice site during the first two years of employment at Western University

All requests for exclusion from time from the promotion schedule must be made in writing to the Department Chair and the Dean at least 6 months prior to the academic year when the review for promotion will occur. The maximum amount of time that can be excluded for any reason or combination of reasons is two years for an Assistant Professor, except in extraordinary circumstances. Such extension of the two-year limit requires prior approval of the Department

Chair and the Dean. Expectations for productivity cannot be increased as a consequence of exclusion time granted under the terms of this section.

A request to exclude time for any reason will not be granted after a non-renewal notice has been issued, nor will previously approved requests to exclude time from the promotion schedule in any way limit the University's right not to renew an employment contract.

For purposes of promotion, the actual number of years of employment at this university minus the exclusion time under the terms of this rule will be considered.

C. Policies for Initial Faculty Appointments with Promotion

A candidate for a faculty position may request of the Dean a promotion in rank during initial negotiations. The request shall be forwarded to the P&T Committee for their review and recommendation prior to the completion of final negotiations. The criteria outlined in this document under Sections III & IV.E, will be used in this review process. If necessary, the Committee may request additional information beyond the candidate's CV to thoroughly evaluate the candidate's qualifications relative to the request for promotion. A maximum of 4 years of prior promotion-relevant experience (PPRE) can be granted at the initial negotiation of appointment for Assistant Professor.

D. Policies and Procedural Guidelines for Promotion Review

All faculty members being considered for promotion from Assistant Professor to Associate Professor will undergo an interim review at his/her 4th year of employment and a final review at his/her 6th year of employment, unless exclusion of time from promotion schedule has been granted. The basis for recommending promotion includes yearly review of faculty performance as provided for in the Annual Faculty Evaluation and Development Document (AFEDD), and the interim review and final review conducted by the P&T Committee. Promotion from Associate Professor to Professor is based solely on criteria and does not carry a particular time frame for consideration. An interim review will not be conducted for faculty promotion from Associate Professor to Professor. For successively higher levels of faculty rank, higher levels of achievement are expected as outlined in section III.

1. Interim Reviews

Approximately three years prior to anticipated promotion, all faculty members will be notified by the Department Chair to submit a dossier for an interim review. Faculty should consult with the Department Chair using the ***Faculty Promotion and/or Tenure Time Table*** to guide for appropriate submission schedule.

For the interim review, the faculty member must post an interim review dossier on Blackboard® and inform the Department Chair in writing by August 1st of the assigned year. The Department Chair will inform the P&T Committee in writing to initiate the interim review. A faculty member who fails to submit a complete dossier by August 31st of the assigned year without prior exemption by the Department Chair will waive their right to the interim review. The faculty member will only receive a promotion final review.

The interim review dossier consists of:

- 1) Current curriculum vitae in the required format as indicated in Appendix I
- 2) A personal statement

- 3) Portfolios in the areas of: teaching, clinical /administrative service, scholarship, and professional service
 - 4) Distribution of Effort (DOE)/Annual Faculty Evaluation and Development Document (AFEDD) of all years of employment
- (Refer to Dossier Checklist in Appendix II for content details, no hard copy is needed)

The P&T Committee will evaluate the dossier for completeness. If the dossier is deemed to be incomplete, the P&T Committee will request that the faculty candidate provide further documentation to complete the dossier. Internal and external letters of recommendation will not be required for this evaluation process.

Subsequent to this review, the P&T Committee will provide a written interim review report including recommendations no later than January of the following year to the Department Chair, the Dean and the faculty member. The Department Chair, the Chair of the P&T Committee and the faculty member will meet jointly to review the written interim review report. The interim review report will be added to the faculty member's personnel file. The dossier on the Blackboard™ will be purged following the completion of the interim review.

2. Final Review

For promotion review, the faculty member must post a final review dossier on Blackboard™ and inform the Department Chair in writing before January 7th of the assigned year. The Department Chair will inform the P&T committee in writing no later than January 7th of the assigned year to initiate the final review. Following final review, promotion towards a potential appointment will be effective July 1st of the same year.

The final review dossier consists of:

- 1) Current curriculum vitae in the required format as indicated in Appendix I
 - 2) A personal statement
 - 3) Portfolios in the areas of: teaching, clinical /administrative services; scholarship, and professional services
 - 4) DOE/AFEDD of all years of employment (These documents will not be accessible by the external reviewers)
 - 5) A list of 4 external reviewers
 - 6) Do NOT include the interim review report
- (Refer to Dossier Checklist in Appendix II for content details, no hard copy is needed)

The P&T Committee will evaluate the dossier for completeness. If the dossier is deemed to be incomplete, the P&T Committee will request that the faculty candidate provide further documentation to complete the dossier.

The Associate Dean of Academic and Student Affairs and Department Chair in the College of Pharmacy will review the candidate's dossier and interim report and will provide letters of recommendation. All Associate Professors and Professors within the respective department of the faculty candidate who are NOT members of the P&T Committee will be asked by the Chair of the P&T Committee to provide input and state whether they are in favor or not in favor of the faculty candidate's promotion. A summary report will be provided by the Chair of the P&T Committee to the P&T Committee. A copy of the faculty candidate's CV and personal statement will be provided to all the Associate Professors and Professors within the respective department of faculty candidate to aid their evaluation process. All letters of recommendations and the summary report will remain in confidence with the P&T Committee only.

A total of six to eight external reviewers capable of evaluating the candidate will be selected. The faculty candidate will submit at least a list of 4 potential external reviewers and the P&T Committee will develop a separate list of 4 external reviewers. Reviewers providing letters of recommendation must hold a rank that is equal to or higher than the rank that is being sought by the candidate. These reviewers must be capable of rendering an objective opinion regarding the candidate's merit for promotion. A minimum of four letters of recommendation from the external reviewers will be required for inclusion in the candidate's dossier; two of the four letters will be obtained from peer reviewers identified by the candidate. The P&T Committee will provide the external reviewers access to the candidate's dossier via Blackboard™. The College of Pharmacy's ***Standards for Promotion and Post-Promotion Review of Non-Tenure Track Faculty***, the candidate's CV and personal statement will also be provided to the external reviewers via e-mail with the request for promotion recommendation. The faculty member's interim review report will NOT be included in the dossier and therefore will NOT be accessible by the external reviewers. Each reviewer shall be instructed to base his/her recommendation on documented achievements and the College of Pharmacy promotion criteria. These letters will remain confidential with the P&T Committee only.

The candidate may provide additional updated information to the Chair of the P&T Committee after the initial submission of his/her dossier prior to its final review evaluation, and recommendation. However, the acceptance of the updated information will depend on the review status at the time of submission.

For the final review, the P&T Committee will utilize the candidate's interim review report as the core document in addition to the updated information provided by the candidate in his/her CV, personal statement, and other information in the final review dossier to assess for continual growth and efforts in improvement from the interim review. In addition, all the letters of recommendation from internal and external reviewers, and the summary report reflecting the departmental faculty input and votes will be taken into consideration for the final recommendations and voting by the P&T Committee. All members of the P&T Committee, except the Chair, are required to vote in favor or not in favor of the promotion. The Chair of the P&T Committee will only provide his/her vote should there be a tie in the voting of the committee members.

At the completion of the final review, the P&T Committee will prepare a written report, including a summary of the votes of the P&T Committee, the Committee recommendations and a basis for those recommendations. The complete dossier, including the P&T Committee written report, will be forwarded to the Dean before April 1st who will prepare a written recommendation. The Dean will submit his/her written recommendation, the P&T Committee written report, and the candidate's dossier to the Provost/Chief Operating Officer for further actions.

The Provost/Chief Operating Officer must approve all recommendations for promotion. If promotion is awarded at the end of this process, a multi-year contract may be offered. If promotion is not awarded at the end of this process, the faculty member will be offered a one-year contract with continual employment based on annual review process. Course of action for future review and employment will be determined by the Department Chair and the Dean. The faculty member has the right to an appeal through the Grievance Procedure as outlined in the Faculty Handbook.

Upon completion of the promotion process and after a final decision has been made, a copy of the candidate's dossier will be archived electronically by the Dean's office.

E. Criteria and Documentation for Promotion

This table contains abbreviations used throughout this section

Abbreviation	Definition
AFEDD	Annual Faculty Evaluation and Development Document
ASP	Administrative Service Portfolio
CC	Curriculum Committee
CSP	Clinical Service Portfolio
CQI	Continuous Quality Improvement
CV	Curriculum Vitae
DOE	Distribution of Effort
FOD	Faculty Orientation and Development Committee
LOR	Letter of Recommendation
JD	Job Description
PR	Public Relations
PS	Personal Statement
PSP	Professional Service Portfolio
SAP	Scholarly Activity Portfolio
TP	Teaching Portfolio

1. Teaching

Teaching refers to the broad area of student-faculty interactions for educational purposes including preceptorship and other practice-related teaching.

Principal Criteria and Documentation for the Assessment of Teaching (also see Dossier Checklist in Appendix II)

CRITERIA	DOCUMENTATION
Fulfillment of didactic, experiential, clinical, residents/fellows and graduate teaching responsibilities	PS, CV, DOE, AFEDD, CSP, TP
Mastery of subject matter	Peer evaluations, TP, LOR, PS
Effective communications	Student and peer evaluations, TP, LOR, PS
Effective student mentoring	Associate Dean for Academic Affairs, Department Chair, student and peer evaluations, LOR, PS
Professional attitude	LOR, Student and peer evaluations, PS
Continued development of teaching methods, techniques and block content	AFEDD, workshops/support via FOD, CC CQI, TP, PS
Development of new blocks or programs	AFEDD, FOD, CC CQI, TP/CSP, PS
Formulation and implementation of innovative teaching approaches	AFEDD, FOD, CC CQI, TP/CSP, PS

2. Clinical/Administrative Service

Clinical Service refers to efforts devoted to patient and/or population care, as well as consultations, drug information services and education to health care providers and patients.

Administrative Service refers to the efforts devoted to administrative functions within the College that may potentially affect the candidates' clinical service portfolio.

Administrative functions may be defined as service to the College or University in a capacity that impacts the governance of the college or university. Administrative positions would include regional coordinators, directors, department chairs, assistant/associate deans and/or any new position deemed “administrative” by the Dean.

Principal Criteria and Documentation for the Assessment of Clinical Service and Administrative Service (also see Dossier Checklist in Appendix II)

CRITERIA FOR CLINICAL SERVICE	DOCUMENTATION
Contributions to the health care system <ul style="list-style-type: none"> ▪ Pharmacy and medical staff relationships ▪ Practice site development ▪ Activities that impact on patient care ▪ Professional credibility/respect ▪ Role model for staff and students 	AFEDD, LOR, CSP, PS
Formulation, implementation, and sustaining an innovative practice model or clinical service	AFEDD, CV, LOR, CSP, PS, SAP
Educational programs <ul style="list-style-type: none"> ▪ Precepting residents/fellows ▪ Staff development lectures ▪ CE programs 	AFEDD, CV, DOE, LOR, CSP, PS, SAP
Conduct clinical projects	AFEDD, CV, DOE, LOR, CSP, PS, SAP
CRITERIA FOR ADMINISTRATIVE SERVICE	DOCUMENTATION
<ul style="list-style-type: none"> ▪ Contributions to the governance of the College or the University ▪ Responsibilities specific to the position as described in the job description 	AFEDD, PS, LOR, CSP, DOE, JD

3. Scholarship

Scholarship refers to research and other creative endeavors that are peer-reviewed and which lead to significant advances in new information and knowledge. These endeavors may be conducted in many different environments, including the research laboratory, the classroom, and the patient care setting. All non-tenure track faculty members are encouraged to participate in scholarly activities consistent with their career goals.

Principal Criteria and Documentation for the Assessment of Scholarship (also see Dossier Checklist in Appendix II)

CRITERIA	DOCUMENTATION
Presentations including seminars, invited seminars, competitive and non-competitive professional meeting abstracts	CV, PS, AFEDD, LOR, SAP (evaluations if available)
Publications: lead, secondary or senior author; peer and non-peer reviewed	CV, PS, AFEDD, LOR, SAP (hard copies of all publications)
Grants (intramural or extramural), contracts, patents, and role(s) in research (Principal investigator, co-principal Investigator, sub-investigator, coordinator, consultant)	CV, PS, AFEDD, LOR, SAP (provide copies of cover sheet for all grants, contracts, patents and clinical trials; reflective narrative including description of significant contributions)

4. Professional Service

Professional Service refers to the work that a faculty member performs for the College, Western University, non-Western University institutions, professional organizations, and the public.

Principal Criteria and Documentation for the Assessment of Professional Service (also see Dossier Checklist in Appendix II)

CRITERIA	DOCUMENTATION
Committee/professional organization leadership, participation, activities and policy development Primary preceptor or program director of residency/fellowship	CV, PS, DOE, AFEDD, PSP (plaques, certificates)
Community programs (health/science related including health fairs, professional/career development days, judging science fairs, outreach program)	CV, PS, DOE, AFEDD, LOR, PSP (evaluation, if available, of brochures)
Consultantships: editorial/advisory board, journal reviewer	CV, PS, DOE, AFEDD, PSP (letters of appointment/recognition)
Honors/awards	CV, AFEDD, PSP (letters of recognition)

5. Collegiality

Collegiality refers to the professional criteria relating to the performance of a faculty member's duties.

Principal Criteria and Documentation for the Assessment of Collegiality

CRITERIA	DOCUMENTATION
Recognition through elected and/or appointed positions	AFEDD, CV, DOE, LOR
Collaborative efforts	AFEDD, CV, LOR
Engagement in shared academic and administrative tasks	AFEDD, CV, LOR
Professionalism and integrity	AFEDD, LOR
Mentorship	AFEDD, CV, LOR

All appointees in the non-tenure track faculty are expected to demonstrate professional collegiality.

E. Procedural Guidelines for Post-Promotion (Continual) Review

As outlined in the College of Pharmacy's Annual Faculty Evaluation and Development document, all faculty members must participate in an annual evaluation and development process which will also serve as the post-promotion (continual) review for the College of Pharmacy. This process is goal-oriented and ensures that each faculty member:

- 1) Establishes and accomplishes goals and objectives that contribute to Western University of Health Sciences mission, vision, values, and goals
- 2) Is provided the opportunity for personal and professional growth and development, thereby making him/her more effective in the job, and
- 3) Understands the continual expectation for professional growth, productivity and achievement in teaching, clinical /administrative service, scholarship, professional service, and collegiality.

Appendix 1. Required CV format for College of Pharmacy Faculty.

CURRICULUM VITAE

Name and Degree

I. PERSONAL INFORMATION

Business Address:
Business Telephone:
Business FAX:
Email Address:
Home Address: (optional)
Home Telephone: (optional)
Social Security Number (optional)

II. ACADEMIC CREDENTIALS

Year	Degree	Institution
(Most recent first)	(Highest first)	

III. OTHER PROFESSIONAL EXPERIENCES (Postdoctoral fellowships/residencies)

Year	Title	Institution
(Most recent first)	(Highest first)	

IV. LICENSURE (for registered Pharmacist)

Year	Name of the Board of Pharmacy	RPH #
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V. BOARD CERTIFICATION

Year	Name of Certificate/Organization	Certificate #
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VI. ACADEMIC APPOINTMENTS AND PROMOTIONS

Year	Title	Institution
------	-------	-------------

VII. NON-ACADEMIC PROFESSIONAL APPOINTMENTS (Hospital/ clinical / industry/government)

Year	Title	Institution/Organization
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VIII. TEACHING ACTIVITY

a. College

Didactic: For each course fill out the following information

Date	Role in course (Lecturer and/or Facilitator)	Hours Taught (Please do not state # hours for facilitation, # hours should be identify with lectures and/or in-class teaching activities, such as case studies)	Title of course: Title of lecture
------	-------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------

Clerkship: For each rotation fill out the following information

Date	Role (Preceptor)	# of students	Title of course (e.g. IX, IC, AX, AC, SE, AE)
------	---------------------	---------------	------------------------------------------------

Preceptorship (Residents, Fellows)

Year	Role (Preceptor)	Title of Program/Project
------	---------------------	--------------------------

b. Others

IX. ADVISING ACTIVITY

Team Mentoring

Year	Class Year/Team name
------	----------------------

Research Students Supervised

Year	Name of research project (if applicable)
------	------------------------------------------

Graduate

Graduate Student Committee Member
Professional Student (non-advanced elective student) Research Supervisor

Undergraduate

Undergraduate Student Research Supervisor

Other

X. PROFESSIONAL SERVICE

Institutional Committees: (year, Name of Committee, Role in Committee)

College

University

Health Care Centers

Professional Organizations: (year, Name of organization, Role in organization)

Membership and Committee leadership/participation/activities

Public Service

Consultant Activity

Advisory Board

Journal Referee

Grant Reviewer

Editorial Board Member

Other

XI. SPECIAL ASSIGNMENTS

XII. HONORS

XIII. INVITED PRESENTATIONS

Categorize as International, National, State, and Local

<u>Date</u>	<u>Title of presentation</u>	<u>Organization/Institution</u>	<u>Location</u>	<u>Audience</u>	<u>CE units</u>
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XIV. RESEARCH AND/OR CREATIVE PRODUCTIVITY

Research Grant Information

"Title", Agency, PI/Co-I/etc, amount of award, approved/not approved, funded/not funded, grant award period, intramural/extramural

Publications

Published or accepted (*for each category list most recent to least recent*).

Use the following format: "All authors. Title, Journal (full name). Year, volume, page nos."

e.g.

1. Brocks DR, Wong-Beringer A. The best way to present your C.V. Journal of Displacement. 2000, 20,165-169.

Journal articles

- Peer reviewed

- Non-peer reviewed

Use the following format: "All authors. Title, Journal (full name). Year, volume, page nos."

- Publications: submitted. Provide authors, title, journal and date submitted

Chapters in Books

Use the following format: Author(s), Chapter Title. In: Book Title, City:Publishing Co., year, pp.

e.g.

1. Wong-Beringer A and Brocks DR. The best way to write a book. In: Writing books; A critical bibliographic review. Editor; Betageri G.V. London: Academical Press. 2000, pp. 87-142.

Abstracts (Specify if Platform or Poster Presentations)

Invited papers in published conference proceedings and abstracts. Use format of journal articles given above.

Contributed papers in published conference proceedings and abstracts

Appendix II
Dossier Checklist

√	Title	Content Checklist	Content Guidelines
	<p>Personal Statement is defined as a candidate's description and assessment of his/her professional development in the four areas of evaluation</p>	<p>Headings</p> <ul style="list-style-type: none"> ▪ Teaching ▪ Scholarly and research activities ▪ Clinical or Administrative service ▪ Professional Service ▪ Summary ▪ Future Plans <p>Format</p> <ul style="list-style-type: none"> ▪ No more than 10 pages in length ▪ Single or double space ▪ Font size no less than 10 ▪ Margins 1 inch all around 	<ul style="list-style-type: none"> ▪ Self narration of professional development. ▪ Highlights of professional accomplishments and barriers, impact on the profession, etc. ▪ Present a balanced view detailing personal strengths and areas for improvement ▪ A summary of progression of teaching evaluations is highly recommended ▪ Include personal philosophies of teaching, research and service, and how each fits into the picture of the individual's academic career and maturation ▪ Reflection on future directions and future plans for professional growth
	<p>Curriculum Vitae</p>		<p>Refer to Appendix I for required format</p>
	<p>Distribution of Effort (DOE) & Annual Faculty Evaluation and Development Document (AFEDD)</p>		<ul style="list-style-type: none"> ▪ Include all copies of DOE/AFEDD ▪ Recommendation: Create a course document titled "Introduction" to include personal statement, CV, and all copies of DOE/AFEDD
	<p>Teaching Portfolio</p>	<p>Headings</p> <p>Didactic: (WU COP)</p> <ul style="list-style-type: none"> ▪ Course syllabus ▪ Lecture materials ▪ Case studies or class exercises ▪ Examinations ▪ Teaching evaluations <p>Experiential: (WU COP)</p> <ul style="list-style-type: none"> ▪ Rotation syllabus ▪ Preceptor Evaluation Summary <p>Graduate or Post-graduate training: (WU COP)</p> <ul style="list-style-type: none"> ▪ Course or program syllabus ▪ Teaching materials ▪ Projects completed ▪ Evaluations <p>Others: (non-WU COP)</p> <ul style="list-style-type: none"> ▪ Course or lecture syllabus ▪ Lecture materials ▪ Evaluations <p>Advising activities :</p> <ul style="list-style-type: none"> ▪ Any pertinent document 	<ul style="list-style-type: none"> ▪ Include ONLY WU COP course syllabus and lecture materials of the most recent academic year (exception: may include materials from previous years as necessary to highlight continual quality improvements) ▪ Complete copies of student evaluations for all WU courses and years ▪ At least 1 peer evaluation is highly recommended ▪ Complete copies of all WU COP post block evaluations ▪ Include ONLY the most recent version of WU COP clinical rotation syllabus ▪ Summary of site and preceptor evaluations for all years ▪ Other didactic, clinical, graduate and post-grad teaching syllabus, lecture materials, projects and evaluations ▪ Letters or certifications of support and/or appreciation ▪ Special projects, honors/awards relating to teaching

	Clinical Service Portfolio	<u>Headings</u> <ul style="list-style-type: none"> ▪ Job/practice description ▪ Service evaluations, if available ▪ Documentations of service/projects ▪ Letter or certification of Support and/or appreciation 	<ul style="list-style-type: none"> ▪ Site/service evaluations, if available ▪ Clinical/administrative projects performed at clinical practice site ▪ Committee role at practice site ▪ Letters or certifications of support and/or appreciation from peers, collaborators, patients, etc. ▪ Special projects, research, presentations, and honors/awards relating to clinical services ▪ Syllabus, lecture materials, and evaluation (if available) of all educational programs provided at practice site
	Administrative Service Portfolio (For faculty with administrative title only)	<u>Headings</u> <ul style="list-style-type: none"> ▪ Job description ▪ Service evaluations, if applicable and/or available ▪ Documentations of service/projects ▪ Letter or certification of support and/or appreciation 	<ul style="list-style-type: none"> ▪ Site/service evaluations, if applicable ▪ Copies of administrative projects performed (e.g. CQI, policy and procedures) ▪ Letters or certifications of support and/or appreciation ▪ Special projects, research, presentations, and honors/awards relating to administrative services
	Scholarship Portfolio	<u>Headings</u> <ul style="list-style-type: none"> ▪ Invited presentations ▪ Research ▪ Publications ▪ Abstracts ▪ Platform or Poster presentations 	<ul style="list-style-type: none"> ▪ All presentation syllabus, lecture materials and evaluations (if available) including seminars, invited seminars, all competitive and non-competitive professional meeting abstracts ▪ All abstracts, poster presentations, and published manuscripts ▪ All research protocols, grants and contracts ▪ A summary chart to outline all research protocols, sponsor information, grants awarded and grants received is highly recommended ▪ Inclusion of grant scores, reviewer comments, etc. are highly recommended
	Professional Service Portfolio	<u>Headings</u> <ul style="list-style-type: none"> ▪ College of Pharmacy ▪ University ▪ Health Care Center (Practice site) ▪ Professional Organizations ▪ Community Programs ▪ Public Service ▪ Consultant Activity 	<ul style="list-style-type: none"> ▪ Appointment and/or appreciation letters ▪ Special projects, activities, policy development, etc ▪ Community program participation documentations ▪ Documentation of consultantships, editorial/advisory board, journal reviewer (confidential information must be de-identified prior to placing material on Blackboard) ▪ Honors and awards
	List of External Reviewers (For Final Review only)	<ul style="list-style-type: none"> ▪ Name ▪ Title ▪ Qualifications ▪ Contact information ▪ A brief description of the professional relationship to each of the reviewer 	<ul style="list-style-type: none"> ▪ It is preferable to send this file directly to the P&T Committee chair by e-mail. ▪ The faculty should contact each of the reviewers prior to submitting his/her name to the P&T Committee.
	Letter(s) of Support		<ul style="list-style-type: none"> ▪ Optional, include documents in the appropriate areas of evaluation if possible

Please remember that items listed under “Content Guidelines” are not all inclusive. If you have any additional information beyond the listed items for any category, please feel free to include them.

Some Helpful Hints to aid faculty in setting up a dossier for review by the P&T committee.

7. Start building your dossier from the beginning; maintain copies of documentation for all professional activities, including letter of recognition from peers and patients, etc.
8. When you receive notification from the department chair that you are due for an interim review, request to set up an account from Jerry Kellogg or Frances Kolarz in Bb for posting your dossier.
9. Timelines for Promotion and/or Tenure submission from Assistant to Associate Professor are summarized below*:

Date	Action
February of 3 th year of employment	Department Chair will notify faculty of interim review
August 1 st of 4 th year of employment (Faculty members who are hired from January to June may have the option to submit interim review dossier on August of 5 th year of employment and receive final review in Spring of 7 th year)	Submission of dossier to department chair who will forward dossier to P&T Committee
January of 4 th year of employment	<ul style="list-style-type: none"> ▪ P&T Committee completes interim review and forward recommendation to Dean. ▪ Faculty member receives interim review report from Dean. ▪ Faculty member may request meeting with department chair and P&T committee chair to review interim report content.
January of 6 th year of employment	Faculty submits final review dossier to department chair who will forward dossier to P&T Committee
Before April 1 st of 6 th year of employment	<ul style="list-style-type: none"> ▪ P&T committee forwards recommendation to Dean. ▪ Faculty receives final review report.

Exceptions:

- iv. *Associate professor*
 - v. *Part-time faculty*
 - vi. *Faculty who obtained prior promotion relevant experience, transferred tracks, or requested exclusion of time.*
10. Create 1 course document folder each for the following titles: Introduction (CV, Personal Statement, & DOE/AFEDD), Teaching Portfolio, Clinical Service and/or Administrative Service Portfolio, Scholarship Portfolio, and Professional Service Portfolio. Additional letters of appreciation/support that do not fit into any of the portfolios above can be placed in a separate file.
 11. Any changes/updates made to the initial dossier must be communicated to the Chair of P&T Committee via email.
 12. For final review, you need to submit a list of 4 external reviewers that you have contacted and agreed to review your dossier. The reviewers are given approximately 6 weeks to complete the review. The submission should include the name, title, qualifications, and contact information of the reviewers. A brief description of the relationship between the faculty member and each reviewer is required.

Approved by the faculty of the College of Pharmacy on October 18, 2007
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 Edited by Board of Trustees Subcommittee, February 25, 2008
 Approved by Provost, March 11, 2008

Ref: Faculty Handbook Supplement College of Pharmacy 3-12-08