

POLICIES AND GUIDELINES

GOVERNING APPOINTMENTS,
PROMOTIONS, AND
PROFESSIONAL ACTIVITIES
OF THE FULL-TIME FACULTY
OF

THE JOHNS
HOPKINS
UNIVERSITY
SCHOOL OF
MEDICINE

OCTOBER 2019



JOHNS HOPKINS
MEDICINE

FOREWORD

OVER THIRTY YEARS AGO, a joint committee of the Medical School Council (now the Faculty Senate) and the Advisory Board of the Medical Faculty generated a set of policies and guidelines governing appointments, promotions, and professional activities of the full-time faculty of the Johns Hopkins University School of Medicine. These policies, incorporated into what we call the “Gold Book,” provide a valuable framework for the important collegial relationship between faculty members, their department directors, and the Dean.

To provide a framework for the good-faith interactions between the faculty and the leadership of the institution, the Gold Book was modified during 2004-2005 by the recommendations of the Committee on Clinician Educators with the full and active participation of the Medical School Council (now the Faculty Senate) and the Advisory Board of the Medical Faculty. Minor changes were made to the Gold Book in 2013. Further modifications were made in 2017. The Clinical Excellence Committee convened by the Dean in 2018 developed the criteria for a new faculty promotion track in 2019. The track is named the Clinical Excellence Track and the existing promotion track is named the Scholarship Track. The Gold Book will continue to be periodically revised as appropriate.

We believe open and frank discussions of these issues are an important element of the Hopkins tradition. Never has medicine undergone such radical changes that currently face us. Solutions to the challenges presented to us can only be devised by our combined efforts. I hope this book will prove useful to you and reinforce the attitude of trust and good faith often cited as that which sets Hopkins apart from other institutions.

Paul B. Rothman, M.D.

Dean of the Medical Faculty

Chief Executive Officer Johns Hopkins Medicine

October 2019

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POLICIES AND GUIDELINES GOVERNING APPOINTMENTS, PROMOTIONS, AND PROFESSIONAL ACTIVITIES

I. GENERAL CONSIDERATIONS

A. PURPOSE OF THIS DOCUMENT

It is a long-standing tradition at the Johns Hopkins University School of Medicine that obligations of faculty members and the School to each other are established through negotiations and agreements made in good faith between a faculty member and his or her Department Director and with the Dean. The policies and guidelines set forth herein provide a framework in which these good-faith interactions may continue. They should in no way inhibit direct personal interchanges among faculty members, Department Directors, and the Dean on issues related to their joint responsibilities.

B. INSTITUTIONAL GOALS

The mission of the Johns Hopkins School of Medicine is to educate medical students, graduate students, and postdoctoral fellows in accordance with the highest professional standards; to prepare clinicians to practice patient-centered medicine of the highest standard; and to identify and answer fundamental questions in the mechanisms, prevention and treatment of disease, in health care delivery, and in the basic sciences. Faculty members are encouraged to assume leadership roles in education, research, clinical practice, and/or administration. The pursuit of these goals reaffirms the historic role of this school.

C. OBLIGATIONS OF THE SCHOOL OF MEDICINE TO ITS FULL-TIME FACULTY MEMBERS

The obligations of the School to its faculty are:

1. To protect the right of each faculty member to academic freedom: that is, the right to pursue knowledge and to write and speak freely as responsible citizens without institutionally imposed, arbitrary restrictions.

2. To promulgate a diverse academic environment in which each faculty member is judged as a researcher, educator, clinician, and/or program builder, based solely on legitimate academic and professional criteria and without regard to sex, gender, marital status, pregnancy, race, color, ethnicity, national origin, immigration status, age, disability, religion, sexual orientation, gender identity or expression, military status, veteran status or other legally protected characteristic.
3. To provide an intellectual environment, work space consistent with available facilities and financial support, and an appropriate amount of time for scholarly and clinical growth and achievement.
4. To provide infrastructure that creates opportunity for and supports academic advancement and to consider appointments and promotions to faculty positions based on established criteria and procedures.
5. To provide appropriate compensation for the services of faculty members over specific periods of employment.

D. OBLIGATIONS OF FULL-TIME FACULTY MEMBERS TO THE SCHOOL OF MEDICINE

The obligations of faculty members to the School are:

1. To carry out assigned academic responsibilities.
2. To teach, conduct research, and/or care for patients with professional competence, intellectual honesty, high ethical standards, and professionalism.
3. To continuously develop and improve their professional abilities.
4. To continuously achieve academic productivity consistent with the expectations of one's academic track, rank, and responsibilities.
5. To participate in advisory or committee assignments necessary for the development of academic programs, for advising students, and for the governance of the School of Medicine.
6. To devote their principal professional energies to activities that further the goals of the University and School and to share in the more general responsibilities of faculty to the University, the local community, and society at large.

7. To comply with applicable University and School of Medicine policies.

II. APPOINTMENTS AND PROMOTIONS OF FULL-TIME FACULTY

A. PRINCIPLES GOVERNING APPOINTMENTS AND PROMOTIONS OF FULL-TIME FACULTY

The selection of individuals for appointment to the faculty or for promotion must be made in accordance with the highest standards. Moreover, the selection process shall be governed by consideration of the immediate and long-range needs of the department, the School, and the best interests of the individuals concerned. Each Department Director is responsible for making recommendations to the Advisory Board of the Medical Faculty (ABMF) for new appointments to the faculty and for faculty promotions. Each Department Director is expected to develop such recommendations in consultation with a departmental or interdepartmental advisory committee.

The School of Medicine, through the Department Director and, where applicable, the Division Director, shall work in concert with each faculty member, to promote career development, to encourage each faculty member in the development of his or her academic career, and to advance the institutional mission. It is the responsibility of the Department Director to ensure that faculty members receive appropriate career development guidance and that their progress in teaching, research, program development, clinical activities, and other responsibilities is actively reviewed. Furthermore, all faculty members must be given an objective evaluation of their ultimate potential for academic advancement within this Institution as early in their careers as feasible, in order to identify additional skills and resources needed for advancement and to give each faculty member maximum opportunity to seek career development. To these ends, all full-time faculty members shall have at least annual reviews with their Department Director or his or her designee, and a written record of review will be sent to the faculty member. Advancement through the ranks and eventual appointment until retirement are not automatic consequences of full-time service on the faculty for any given number of years. Rather, they are privileges conferred

in recognition of merit on an individual faculty member by recommendation of the ABMF, referral to the University, and action of the University Board of Trustees.

B. GENERAL CRITERIA FOR APPOINTMENT AND PROMOTION OF FULL-TIME FACULTY

The criteria for appointment and promotion are derived from the School of Medicine's primary aim, which is to be a regional, national, and international leader in biomedical discovery, education, and clinical care. This aim can be achieved only if the School's faculty are outstanding leaders in their respective fields. The School of Medicine has two promotion tracks: the Scholarship Track and the Clinical Excellence Track. At the time of hiring, faculty will indicate a nonbinding preference for one of the promotion tracks in order to inform mentoring and career development, but the formal selection of a track will not occur until the application for appointment or promotion to Associate Professor or Professor. For both promotional tracks, professional recognition as a leader in one's field is the fundamental criterion for promotion to the rank of Professor. Other criteria are set for appointment and promotion to lower ranks, and faculty members must meet those criteria to advance while demonstrating the potential for continued accomplishments. Well before candidacy for Professor, a prime consideration for promotion is whether a faculty member's professional career is developing in a manner that promises to make him or her eligible for promotion to the next level. At all stages of the promotional sequence, candidates proposed for promotion must satisfy, as a prerequisite, the basic obligations specified above in Section I-D, "Obligations of Full-time Faculty Members to the School of Medicine."

Likewise, at all stages, the criteria for academic advancement are fulfilled through scholarly accomplishments in research, education, program development, and/or clinical distinction. From time to time, the Vice Dean for Faculty will distribute to members of the faculty suggestions for documenting scholarly, educational, or clinical achievement in one or more of the most common pathways. This is described in detail in the Professional Development Guide for the Faculty of the Johns Hopkins School of Medicine (also referred to as the "Silver Book") but may also be communicated through other means. It is important to note that meeting or exceeding these suggestions does not guarantee appointment or promotion.

1. **Appointment or Promotion on the Scholarship**

Track: The basis for appointment or promotion on the Scholarship Track is recognition as a preeminent leader in one's field. It is recognized that there are different pathways to achieve this distinction. The most common elements of recognition as a leader in one's field on the Scholarship Track are excellence in peer-reviewed scholarship, scholarly innovation, and national/international recognition by peers. Scholarship, the primary basis for academic advancement on the Scholarship Track, encompasses the generation of new knowledge and/or the dissemination of knowledge that is accessible for critical assessment and future use by members of the academic community. For clinicians, contributions and accomplishments in the delivery and teaching of clinically excellent patient care are also heavily weighed. All faculty appointed or promoted on the Scholarship Track must demonstrate engagement with the School of Medicine teaching mission and engagement with the School of Medicine discovery mission.

Faculty members on the Scholarship Track may follow different academic career paths, but all must meet similar criteria for each rank of appointment. However, the specific accomplishments for demonstrating those criteria can differ for each academic career path. The most important and unifying criterion in all faculty appointments and promotions is recognition of one's scholarly excellence as judged by peers, supervisors, reviewing committees for appointments and promotions, and professionals outside of the School of Medicine. Faculty appointed or promoted on the Scholarship Track will use the title "Associate Professor of [Department]" or "Professor of [Department]."

The following important elements of scholarship are considered in the appointment and promotion process on the Scholarship Track:

- a. **Research:** New knowledge can take many forms, including important clinical observations, clinical research findings, laboratory research, integrative research, translational research, educational research, research on performance improvement, and team science. Customarily, such new knowledge is disseminated through original publication in peer-reviewed journals and

books. For this reason, a candidate's publications form an important basis for assessing scholarly productivity in research.

- b. **Education:** Excellence in education requires not only an objective, up-to date, accurate, and balanced command of the field being taught, but also requires effective communication skills. Documenting excellence in educational scholarship requires demonstration of accomplishments that are public, enduring, subject to critical review and analysis of outcomes, and useful to others in the community beyond the School of Medicine. This documentation may take the form of an Optional CV Impact Supplement, as described in the Silver Book (<https://www.hopkinsmedicine.org/som/faculty/policies/silverbook/>). Course leadership and design, the judgment of students, trainees and peers, and meritorious publications are also considered when a faculty member's teaching is assessed.
- c. **Clinical Care:** Some of the metrics of clinical distinction that are considered for a faculty member's appointment or promotion on the Scholarship Track include: clinical reputation, clinical innovation and scholarship, invitations to speak at other medical institutions, teaching clinical skills, election to distinguished medical societies relevant to achievement in his or her field, development and dissemination of clinical guidelines, participation as a specialty board examiner, the application of new knowledge, and meritorious clinical publications.
- d. **Program Development:** A leader in program development is someone who has developed a clinical, educational, or research program that is nationally recognized as an outstanding model of its kind, as evidenced by scholarly dissemination of substantial impact on the field, and adoption of that program at outside institutions.

2. **Appointment or Promotion on the Clinical Excellence Track:** The basis for appointment or promotion on the Clinical Excellence Track is recognition as an outstanding clinician who delivers clinically excellent care. Faculty members who devote at least sixty percent (60%) of their

efforts to patient care (local/regional/international) are eligible for appointment or promotion on the Clinical Excellence Track. Clinical excellence, the primary basis for academic advancement on this track, encompasses the delivery of clinically excellent care, the generation of new clinical knowledge, and the dissemination and teaching of clinical knowledge to other members of the academic and clinical community. A critical and unifying criterion in all faculty appointments and promotions on the Clinical Excellence Track is recognition of one's clinical excellence as judged by peers, supervisors, patients, reviewing committees for appointments and promotions, and professionals outside of the School of Medicine. Scholarship alone, regardless of number of publications, is not sufficient for appointment or promotion on the Clinical Excellence Track. Because clinical specialties can differ substantially in the appropriate metrics of clinical excellence, specialty-informed standards of clinical excellence will be applied when assessing clinical excellence. Faculty appointed or promoted on the Clinical Excellence Track will use the title "Associate Professor of Clinical [Department]" or "Professor of Clinical [Department]" on their CV and in all written or published communication. The use of the modifier "Clinical" in oral communication is optional.

The following important elements of clinical excellence and engagement with the academic mission are considered in the appointment and promotion process on the Clinical Excellence Track:

- a. **Clinical Excellence:** Clinical excellence includes exceptional clinical knowledge and clinical judgment, superb diagnostic acumen and/or procedural skills, a patient-centered approach to care delivery, excellent communication and interpersonal skills, taking a scholarly and evidence-based approach to clinical practice, the highest levels of professionalism and humanism, a commitment to quality, safety, and value in patient care delivery, and having a passion for clinical medicine.
- b. **Contributions to the Education Mission:** Teaching learners how to deliver clinically excellent care is a core element of advancement on the Clinical Excellence track. Contributions to the education mission includes active

engagement in teaching and mentoring learners at all levels. Excellence in education includes outstanding communication skills, serving as an outstanding role model for professional and clinical excellence, and teaching and disseminating best practices in the delivery of clinically excellent care.

- c. **Contributions to the Discovery Mission:** Partnering in the discovery mission is critical to advancing clinically excellent care. Contributions to the discovery mission can take many forms, including important clinical observations, participating in clinical research as an investigator or a clinical partner, contributing to clinical research, translational research, educational research, safety, quality and performance improvement, and team science.

C. ACHIEVEMENTS AND CONTRIBUTIONS THAT DOCUMENT CRITERIA FOR ADVANCEMENT

1. **Scholarship Track:** The following contributions will be considered by promotion committees in assessing faculty for advancement on the Scholarship Track, with variable weights for contributions depending on the faculty member's academic career path (as outlined in the Silver Book):

Publications

- Substantive and continuous publications in refereed journals with special emphasis on the quality of original contributions to the field
- Role of the faculty member in the execution of the project involved in the publications
- First/last authorship on papers as well as unique contribution to large research or clinical studies
- Textbooks or monographs, either as sole author or as editor
- Chapters in textbooks and invited/peer reviewed papers
- Reviews, editorials, and case reports
- Guidelines and consensus statements
- Other communications including those primarily developed and disseminated in electronic format

Support for Research and Education Programs

- Grants and contracts obtained as the principal investigator, co-principal investigator, program director, or co-director
- Unique contributions to grants and contracts with other principal investigators or program directors
- Active engagement in licensing and/or application of intellectual property to translate basic findings to practice

Education

- Quality and quantity of educational activities for students, including graduate students, medical students, residents, postdoctoral fellows, and attendees of continuing education courses
- Educational program director for graduate students, medical students, residents, and/or postdoctoral fellows, with impact outside Johns Hopkins
- Continuing medical education courses at the regional, national, and international level with evidence of learner and program outcomes
- Development and evaluation of new educational methods, modules or courses, which may include new learning technologies, with emphasis on impact outside Johns Hopkins
- Teaching awards
- Mentoring activities and achievement of distinction by mentees
- Thesis supervision/committee engagement
- Educational committee activities

Clinical Service

- Reputation as a clinician as manifested by patient and staff reviews, surveys, and peer reviews as detailed in the Silver Book
- Scope and productivity of clinical practice as compared to peers performing similar services for similar patient populations as detailed in the Silver Book
- Development of a unique or essential clinical program that impacts care and/or is adopted by outside organizations
- Recognition as a role model of professionalism
- Active engagement with quality, safety, and access initiatives to improve care, especially those that are impactful beyond Johns Hopkins
- Active engagement in development of clinical policies and evaluation of effectiveness of clinical practices outside Johns Hopkins

Recognition beyond the School of Medicine

- Awards or prizes for research, teaching, or service
- Serving on national scientific advisory boards or study sections
- Serving as an elected member, officer, or part of the council of national societies and/or scholarly organizations
- Appointment to honorific societies/organizations
- Service on journal editorial boards
- Invited presentations at universities, hospitals, national/international meetings, etc.
- Organizing regional, national, and/or international research or educational meetings
- Invitations to demonstrate clinical, educational, and/or research skills/programs to outside entities
- National or international reputation documented by letters of recommendation

Citizenship to the SOM and University

- Adherence to the University's principles of equity, civility, and respect for all (https://www.jhu.edu/assets/uploads/2014/09/equity_civility_respect.pdf)
- Adherence to the School of Medicine's Code of Professional Conduct for Faculty and Guidelines for Conduct in Teacher/Learner Relationships (<https://www.hopkinsmedicine.org/som/faculty/policies/>)
- Service on University, School of Medicine, Hospital, or Department Committees
- Service as a division, program, section chief, or Deputy Director
- Service as a curriculum development leader, a residency or fellowship director, co-director, or administrator

2. **Clinical Excellence Track:** The following contributions will be considered by promotion committees in assessing faculty for advancement on the Clinical Excellence Track, with variable weights for contributions depending on the faculty member's academic clinical focus and specialty:

Clinical Excellence

- Recognition by peers, leaders, and patients as an outstanding clinician in one's field
- Scope and productivity of clinical practice as compared to peers performing similar services for similar patient populations
- Development of a unique or essential clinical program that impacts care or is adopted by outside organizations

- Clinical care improvements and innovations
- Quality and safety innovations
- Clinical leadership
- Clinical draw to the institution
- Evaluation by staff and learners
- Awards for clinical excellence
- Clinical demonstration projects
- Impactful dissemination of clinical excellence
- Contribution to education
- Recognition as a role model of professionalism

Engagement in the Teaching Mission

All candidates must show engagement with the JHM teaching mission. Based on setting, varied methods are acceptable (i.e., precepting, classroom, CME, online, etc.) and diverse learners will be considered (students, residents, fellows, peers, allied health professionals, community stakeholders [i.e., patients, family, faith leaders]). Mentorship of students, residents, postdoctoral fellows, and junior faculty is heavily weighted.

Education

- Quality and quantity of educational activities for students, including medical students, residents, postdoctoral fellows, and attendees of continuing education courses
- Continuing medical education courses at the regional/national/international level with evidence of learner and program outcomes
- Development and evaluation of new educational methods, modules or courses, which may include new learning technologies, with emphasis on impact outside Johns Hopkins
- Teaching awards
- Mentoring activities and achievement of distinction by mentees

Engagement and Contributions to the Research and Discovery Mission

All candidates must show engagement and contributions to the JHM research and discovery mission. Based on the setting, varied forms of engagement in discovery will be considered, including:

- Conducting or participating in clinical trials
- Contributing to patient registries
- Contributing to patient recruitment in clinical research
- Contributing biospecimens

- Contributing to QI/quality improvement research
- Contributing to safety and quality research
- Contributing to operations research
- Contributing as a co-investigator or collaborator to clinical or basic science research projects

Publications, Presentations, and Other Communications Disseminating Clinical Excellence

- Author on peer-reviewed, scholarly papers
- Textbooks or monographs, either as an author or as editor
- Chapters in textbooks and invited/peer reviewed papers
- Reviews, editorials, and case reports
- Developing or contributing to guidelines and/or consensus statements
- Dissemination of clinical excellence scholarship, advances, innovations or best practices to regional/national/international audiences
- Other communications including those primarily developed and disseminated in electronic format

Recognition beyond the School of Medicine

- Awards or prizes for clinical excellence, teaching, or service
- Serving on national clinical advisory boards or guideline panels
- Serving as an elected member, officer, or on the council of regional/national/international clinical organizations
- Appointment to honorific societies/organizations
- Service on journal editorial boards
- Invited clinical presentations at universities, hospitals, regional/national/international meetings, etc.
- Organizing regional/national/international clinical or educational meetings
- Invitations to demonstrate clinical or educational expertise to outside entities
- Regional/national/international reputation documented by letters of recommendation

Citizenship to the SOM and University

- Adherence to the University's principles of equity, civility, and respect for all (https://www.jhu.edu/assets/uploads/2014/09/equity_civility_respect.pdf)
- Adherence to the School of Medicine's Code of Professional Conduct for Faculty and Guidelines for Conduct in Teacher/Learner Relationships (<https://www.hopkinsmedicine.org/som/faculty/policies/>)
- Service on University, School of Medicine, Hospital, or Department Committees

- Service as a division, program, section chief, or Deputy Director
- Service as a curriculum development leader, a residency or fellowship director, co-director, or administrator

III. FACULTY APPOINTMENTS

A. FACULTY RANKS

Faculty ranks at the Johns Hopkins University School of Medicine include Instructor, Assistant Professor, Associate Professor, Associate Professor Pending Appointment at Rank (PAR), Professor, Professor Pending Appointment at Rank (PAR), and the special faculty ranks of Assistant, Lecturer, Research Associate, Visiting Scientist, Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor, Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor. The adjunct ranks are for non-employed part-time faculty; all other faculty appointments may be part-time, full-time, or limited full-time. The faculty titles listed herein are the only faculty titles that may be used in the School of Medicine.

Newly recruited faculty whose appointments are pending appointment at rank (PAR) must use the modifier “PAR” with their titles during the period of review. These include appointees at the rank of Associate Professor who are under review by the Clinical Excellence Review Committee and/or the Associate Professor Promotions Committee (APPC) and the ABMF or at the rank of Professor who are under review by the Clinical Excellence Review Committee and/or the Professorial Promotions Committee (PPC), the ABMF, and the University Board of Trustees. Newly recruited faculty who are appointed at PAR are required to submit their complete packet for consideration to the appropriate committee within six months of initial appointment. They may be terminated without further need for notice at the end of the initial PAR appointment period, absent express written approval from the Dean of the School of Medicine, where the delay in regular appointment is due to failure on the part of the newly recruited faculty member.

The titles Adjunct Professor, Adjunct Associate Professor, and Adjunct Assistant Professor are used to designate a special category of part-time faculty who are outstanding scientists, educators, and/or clinicians, and who contribute to the scholarly activities of the School of Medicine. Adjunct

faculty serve on a year-to-year appointment basis. They do not receive base salary but may receive an honorarium for services rendered to the School of Medicine. Adjunct faculty are not eligible for appointment on the Clinical Excellence Track.

Adjunct faculty are excluded from the appointments and promotions provisions of the Gold Book and are not eligible for the JHU Benefits Plan. They are expected to comply with the Policies and Guidelines Governing Appointments and Promotions, and Professional Activities of the Part-Time Faculty of the Johns Hopkins University School of Medicine (known as the “Blue Book”) and all policies of the University and the School of Medicine, including all University policies regarding conflict of interest, the Intellectual Property Policy, and the School of Medicine Policy on Disclosure and Professional Commitment. Adjunct Appointments must be proposed by a Department Director and approved by the Agenda Committee of the ABMF and the full ABMF.

Adjunct faculty must use the modifier “adjunct” whenever they make reference to their faculty status.

Part-time faculty, who are not adjunct, are eligible for appointment and promotion on either the Scholarship Track or the Clinical Excellence Track.

The titles Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, and Visiting Scientist are used to designate a special category of faculty, appointed on a full-time basis, who are outstanding scientists, educators, and/or clinicians, and who contribute to the scholarly activities of the School of Medicine. Visiting faculty appointments are reviewed annually at the department level. Visiting faculty are not eligible for consideration for the Clinical Excellence Track.

Visiting faculty are appointed for renewable terms not to exceed 12 months for the initial appointment and each renewal with no commitment for appointment to the permanent faculty. Their faculty appointments are managed in accordance with customary policies. They are expected to comply with all policies of the University and the School of Medicine, including all policies of the University regarding conflict of interest, the Intellectual Property Policy, and the School of Medicine Policy on Disclosure and Professional Commitment. Visiting faculty must use the modifier “visiting” whenever they make reference to their faculty status.

Full-time faculty members engage in teaching, research and, in many cases, patient care activities. For the purposes of this document, the designation full-time means that the faculty member:

- Devotes his or her professional energies, as defined in the School of Medicine Policy on Disclosure and Professional Commitment, to activities that further the academic or clinical objectives of the Johns Hopkins University School of Medicine, and
- Receives compensation for effort from the Johns Hopkins University or, under an agreement or formal arrangement with the School of Medicine, receives remuneration directly from another institution and is accorded all privileges of a full-time member of the School of Medicine faculty.

Any commitment less than “limited full-time,” as defined below in Section IV-F.2., is considered part-time. A faculty member’s status (full-time, limited full-time, or part-time) is a matter of contract between the faculty member and the University and is specified in each faculty member’s letter of appointment.

A faculty member who resigns from a full-time faculty position is not automatically entitled to a part-time appointment. A faculty member who wishes to continue an association with the School of Medicine after his or her resignation must apply for appointment to the limited full-time or part-time faculty in the appropriate department.

Responsibilities of faculty members in all ranks are determined individually by the various departments. Faculty status may not be held concurrently with enrollment as a full-time student in the School of Medicine (e.g., as a medical student, graduate student, or postdoctoral fellow).

B. EMERITUS STATUS

Emeritus status is an honorary title that may be awarded to retired faculty members in recognition of distinguished achievement and service. The Board of Trustees, acting on the recommendation of the ABMF, may at its discretion, grant emeritus status to faculty members upon their retirement from the School of Medicine. Promotions in faculty rank are not granted once emeritus status is reached.

C. JOINT APPOINTMENTS

A faculty member may have a joint appointment that is either interdepartmental or interdivisional.

- 1. Interdepartmental joint appointments:** There are two types of joint appointments within the School of Medicine. The first type is a joint appointment with title. In joint appointments with title, the full range of academic titles may be used: for example, Professor of ___ and Associate Professor of ___, or Assistant Professor of ___ and Assistant Professor of ___. The second type is designated by the term “Joint Appointment”: for example, Associate Professor of ___ and Joint Appointment in ___.

In either case, there is one and only one primary appointment, except in the case of Bloomberg Distinguished Professors, who may be appointed with tenure in more than one division or department. In the case of the Bloomberg Distinguished Professors, one department will be designated as the primary department for administrative purposes. The department that has the primary appointment is responsible for the faculty member’s salary and for provision of space and other resources, except in the case of faculty not paid by the Johns Hopkins University. Contract periods and the timing of reappointment reviews, as outlined below, are determined by the faculty member’s primary appointment only. If the primary appointment terminates for any reason, all interdepartmental joint and secondary appointments terminate at the same time.

For either type of interdepartmental joint appointment, a recommendation is made to the ABMF by the Director of the secondary department with the concurrence of the Director of the faculty member’s primary department. The ABMF reviews nominations for a secondary appointment to a designated faculty rank, applying criteria comparable to those used for primary appointments. When the ABMF reviews nominations for Joint Appointment, the request of the Director of the secondary department is the basis for approval.

- 2. Interdivisional joint appointments:** The University policy on interdivisional joint appointments allows a faculty member to hold an appointment in two divisions of the University, e.g., the School of Medicine, the Bloomberg School of Public Health, the Krieger

School of Arts and Sciences, or the Applied Physics Lab. However, academic rank is accorded to the faculty member by one and only one academic division. That division has the primary appointment and is responsible for the faculty member's academic advancement and for providing him or her with space and other resources. Appointments in all other divisions will be secondary. No academic rank is assigned for secondary interdivisional joint appointments, for example, Associate Professor of ___ with a joint appointment in [Department]. If the primary appointment terminates for any reason, all interdivisional joint appointments automatically terminate at the same time.

IV. ACADEMIC ADVANCEMENT FOR FULL-TIME FACULTY

Full-time faculty members of the School of Medicine, with the exception of those holding special ranks as defined in Section III-A, follow a well-defined path of career development, from appointment through stages of review and promotion.

A. APPOINTMENT TO THE RANK OF INSTRUCTOR

1. Criteria for appointment to rank

Full-time faculty members holding the rank of Instructor are expected to have completed formal training and to have developed the skills required for their clinical field or basic science discipline, as well as to show potential for growth in academic pursuits. Faculty members must also carry out their academic and/or patient care responsibilities with professional competence, intellectual honesty, high ethical standards, and in a manner consistent with the policies and procedures of the University.

2. Procedure for appointment

- Review and consultation within Department.
- The Department Director makes recommendation to the ABMF.
- The ABMF reviews the recommendation and submits approved recommendations to the Dean, who notifies the faculty member of the appointment.

3. **Institutional responsibility**

The institution is responsible, consistent with available facilities and financial support, for providing the faculty member with an opportunity to meet the criteria for promotion to the rank of Assistant Professor. Therefore, an earnest effort should be made to afford each faculty member the time, guidance, and opportunity for creative scholarship and its publication, both of which are essential for promotion to Assistant Professor.

4. **Procedure for promotion to the rank of Assistant Professor**

An Instructor may be recommended for promotion to the rank of Assistant Professor by the Department Director at any time. See Section IV-B.2., "Procedure for appointment or promotion to the rank of Assistant Professor."

5. **Three-year review**

When a faculty member has served three years at the level of Instructor and has been recommended for continuation, he or she must be reviewed by the Instructor and Assistant Professor Reappointment Review Committee.

Prior to review by the Committee, the Committee requires documentation from the Department Director that states the type of contract recommended for the faculty member and confirms that the faculty member has been informed of the Director's recommendation. One purpose of the Committee review is to ensure that a recommended reappointment of an individual is not only merited, but also is in the best interests of the Department and the School. Another purpose is to provide faculty members with an objective and independent evaluation of their contributions to date and their long-term potential within the School of Medicine. Coming as early in their careers as possible, this evaluation allows faculty members to take advantage of all opportunities for further career development.

The Instructor and Assistant Professor Reappointment Review Committee will either: (i) recommend a terminal one-year contract (for the fourth year), or (ii) recommend reappointment for one year at rank, with subsequent review at the end of that year. In connection with a recommendation for reappointment at rank, the Committee may advise the Department Director that the faculty member be considered for promotion.

In the absence of promotion or recommendation for promotion at the fourth year review, the fifth year at the rank of Instructor will normally be a terminal year. The Committee must approve any contract for an Instructor beyond the third year.

B. APPOINTMENT OR PROMOTION TO THE RANK OF ASSISTANT PROFESSOR

1. Criteria for appointment or promotion to rank

Full-time faculty members holding the rank of Assistant Professor are expected to demonstrate clear evidence of creative scholarship or clinical excellence in the area of their primary expertise. Suggestions for documenting substantive creative scholarship or clinical excellence in various career pathways are distributed by the Vice Dean for Faculty in the Silver Book or other publications from time to time. As required of all faculty members, candidates proposed for appointment or promotion must also carry out their academic and/or patient care responsibilities with professional competence, intellectual honesty, high ethical standards, and in a manner consistent with the policies and procedures of the University.

2. Procedure for appointment or promotion to the rank of Assistant Professor

- Review and consultation within the Department in accordance with Department procedures.
- The Department Director makes a recommendation for the appointment or promotion to the rank of Assistant Professor to the Agenda Committee of the ABMF. After review by the Agenda Committee, endorsed nominations are forwarded to the ABMF.
- The ABMF reviews the recommendation and submits approved recommendations to the Dean, who notifies the faculty member of the appointment or promotion.

3. Institutional responsibility

The institution is responsible, consistent with available facilities and financial support, for providing the faculty member with an opportunity to meet the criteria for promotion to the rank of Associate Professor. Therefore, an earnest effort should be made to afford each faculty member the guidance and opportunity for scholarly or clinical achievement and development of regional or national recognition, depending upon the promotion

track, in his or her field, both of which are essential for promotion to Associate Professor.

4. **Procedure for promotion to the rank of Associate Professor**

An Assistant Professor may be recommended for promotion to the rank of Associate Professor by the Department Director at any time. See Section IV-C.2., “Procedure for appointment or promotion to the rank of Associate Professor.”

5. **Seven-year and nine-year reviews**

When a faculty member has served seven years at the rank of Assistant Professor, he or she must be reviewed by the Instructor and Assistant Professor Reappointment Review Committee.

Prior to review by the Committee, the Committee requires documentation from the Department Director that states the type of contract recommended for the faculty member and confirms that the faculty member has been informed of the Director’s recommendation. One purpose of the Committee review is to ensure that a recommended reappointment of an individual is not only merited, but also is in the best interests of the Department and the School. Another purpose is to provide faculty members an objective and independent evaluation of their contributions to date and their long-term potential within the School of Medicine. Coming as early in their careers as possible, this evaluation allows faculty members to take advantage of all opportunities for further career development.

The Committee will either: (i) advise the Department Director to nominate the individual for promotion with reappointment(s) at rank with one-year contract(s) during the review process, (ii) recommend reappointment(s) at rank for two years with re-review when the faculty member has served nine years, or (iii) recommend a one-year terminal appointment.

If not promoted after reappointment at rank for two years, the faculty member will be reviewed again by the Instructor and Assistant Professor Reappointment Review Committee at the end of nine years. The committee will: (i) recommend a terminal one-year contract, (ii) recommend an appointment for three to five years, or (iii) advise the Department Director to nominate the individual for promotion with reappointment at rank

with one-year contract(s) during the review process. If recommended for consideration for promotion, but not promoted after reappointment at rank, the faculty member will be reviewed again by the Instructor and Assistant Professor Reappointment Review Committee. The committee will either: (i) recommend a one-year terminal contract or (ii) recommend reappointment for three to five years.

A contract of three to five years may be recommended to provide additional time to a faculty member who is making an essential contribution to the School of Medicine. The Department Director's expectations for the faculty member to demonstrate scholarly or clinical achievement necessary for promotion, and support that will be provided to the faculty member to meet those expectations will be documented as part of the annual review process. Meeting the Department Director's expectations as set forth in the annual review does not guarantee promotion. The Committee requires documentation that the individual has received explanation of the review process by the Vice Dean for Faculty or his or her designee. The Committee will continue to review all Assistant Professors with three to five year contracts one year prior to the end of each contract period, unless the faculty member is recommended for promotion during that time. Each time, the Committee will either: (i) advise the Department Director to nominate the individual for promotion and recommend reappointment with one year contract(s) during the review process, (ii) recommend a one-year terminal contract, or (iii) recommend reappointment at rank for three to five years.

The Instructor and Assistant Professor Reappointment Review Committee is constituted to review Instructors who have not been promoted by the end of three years and Assistant Professors who have not been promoted by seven years, nine years, and one year prior to the end of each three to five year reappointment contract. The Committee's recommendation must be reported to the Dean, the Department Director, the ABMF, and the faculty member. The Instructor and Assistant Professor Reappointment Review Committee submits its recommendation to the ABMF. The ABMF reviews the recommendation and submits approved

recommendations for reappointment to the Dean who notifies the faculty member of the reappointment.

C. APPOINTMENT OR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR

1. Criteria for appointment or promotion to rank

Appointment or promotion to the rank of Associate Professor requires substantive contributions to research, education, and/or clinical practice. The achievement of candidates for appointment or promotion to Associate Professor should be indicated by national scholarly recognition by their peers (Scholarship Track) or regional clinical recognition by their peers (Clinical Excellence Track). Candidates should document progress toward becoming an outstanding recognized leader in their fields. Suggestions for documenting substantive scholarly or clinical contributions and recognition in various career pathways are distributed by the Vice Dean for Faculty in the Silver Book or other publications from time to time. As required of all faculty members, candidates proposed for appointment or promotion must also carry out their academic and/or patient care responsibilities with professional competence, intellectual honesty, high ethical standards, and in a manner consistent with the policies and procedures of the University. At the time of appointment or promotion to Associate Professor, the candidate must indicate the track on which they are to be considered.

2. Procedure for appointment or promotion to the rank of Associate Professor

- The Department advisory committee and/or Department Director review the candidate in accordance with Department procedures.
- The Department Director makes a recommendation to the Dean, including whether the candidate is requesting appointment or promotion within the Scholarship Track or Clinical Excellence Track, with supporting materials.
- For candidates on the Clinical Excellence Track, the Dean forwards the recommendation to the Clinical Excellence Review Committee for consideration for appointment or promotion.
- For candidates on the Scholarship Track, the Dean forwards the recommendation to the APPC for consideration for appointment or promotion.

3. **Clinical Excellence Review Committee**

- All candidates for appointment or promotion on the Clinical Excellence Track for the rank of Associate Professor will first be reviewed by the Clinical Excellence Review Committee. The Committee will review the candidate's appointment/promotional portfolio, institutional measures of clinical performance, and quality and safety; and request and review all referee letters and references from leaders, peers, patients, and learners. After a full review of appointment or promotional materials, the Committee will vote on whether to recommend the candidate for appointment or promotion to the APPC.
- Recommendations for appointment or promotion will be forwarded to the APPC for vote.
- Recommendations against appointment or promotion will be communicated to the Dean, who will notify the Department Director.

4. **Associate Professor Promotions Committee (APPC) review**

a. **Faculty on the Scholarship Track**

The APPC reviews recommendations from the Department Director for appointment or promotion to the rank of Associate Professor. The APPC seeks information on the candidate from both within and outside the School of Medicine. If the APPC recommends in favor of appointment or promotion of a faculty member, it reports this decision to the Dean, and directly to the ABMF. If the APPC recommends against appointment or promotion of a faculty member, it reports this decision to the Dean, who then notifies the Department Director. In the case of a new appointment, the candidate may instead be appointed at the rank of Assistant Professor after review by the Agenda Committee. Alternatively, the APPC may recommend no faculty appointment, in which case, the Associate Professor (PAR) appointment will terminate upon six months written notice of the APPC decision.

b. **Faculty on the Clinical Excellence Track**

The APPC votes on recommendations for appointment or promotion made by the Clinical Excellence Review Committee. If the APPC votes in favor of appointment or promotion of a faculty member on the Clinical Excellence Track,

it reports this decision to the Dean, and directly to the ABMF. If the APPC recommends against appointment or promotion of a faculty member, it reports this decision to the Dean, who then notifies the Department Director and the Clinical Excellence Review Committee. In the case of a new appointment, the candidate may instead be appointed at the rank of Assistant Professor after review by the Agenda Committee. Alternatively, the APPC may recommend no faculty appointment, in which case, the Associate Professor (PAR) appointment will terminate upon six months written notice of the APPC decision.

5. **Institutional responsibility**

The Institution is responsible, consistent with available facilities and financial support, for providing the faculty member with an opportunity to meet the criteria for promotion to the rank of Professor. Therefore, an earnest effort should be made to afford each faculty member the time, guidance, and opportunity for outstanding scholarly or clinical achievement and development of a leadership role at the national level in his or her field, both of which are essential for promotion to Professor.

6. **Procedure for promotion to the rank of Professor**

An Associate Professor may be recommended for promotion to the rank of Professor by the Department Director at any time. See Section IV-D.2., Procedure for appointment or promotion to the rank of Professor.

7. **Six-year and nine-year reviews**

When a faculty member has served six years at the rank of Associate Professor, he or she must be reviewed by the Associate Professor Reappointment Review Committee. Prior to review by the Committee, the Committee requires documentation from the Department Director that states the type of contract recommended for the faculty member and confirms that the faculty member has been informed of the Director's recommendation. One purpose of the Committee's review is to ensure that a recommended reappointment of an individual is not only merited, but also is in the best interests of the Department and the School. Another purpose is to provide faculty members an objective and independent evaluation of their contributions to date and their long-term potential within the School of Medicine. Coming as early in their careers as possible, this evaluation allows

faculty members to take advantage of all opportunities for further career development.

The Associate Professor Reappointment Review Committee may recommend to the ABMF one of four options: (i) advise the Department Director to nominate the individual for promotion with reappointment at rank with one- year contract(s) during the review process, (ii) reappointment(s) at rank for three years, with re-review when the faculty member has served nine years, (iii) a two-year terminal appointment, or (iv) in exceptional circumstances, a contract to retirement (subject to approval of the ABMF, referral to the University, and action of the Board of Trustees). Contracts to retirement will be considered only for those individuals whose contributions are unique and of exceptionally high quality. Length of prior service is not itself sufficient justification for a contract to retirement.

At the end of nine years, the Associate Professor Reappointment Review Committee must review Associate Professors again. The Committee will either: (i) advise the Department Director to nominate the individual for promotion and recommend reappointment at rank with one-year contract(s) during the review process, (ii) recommend reappointment at rank with a contract for three to five years, with re-review two years prior to the end of the contract, (iii) recommend a two-year terminal contract, or (iv) recommend, in exceptional circumstances, a contract to retirement. The faculty member who is recommended for promotion, but who is not promoted will be reviewed by the committee again at the end of the reappointment period. Then, the committee must recommend one of the following: (i) a contract-to-retirement, (ii) a terminal two-year contract, or (iii) reappointment at rank with a contract for three to five years, with re-review two years prior to the end of the contract. A contract of three to five years may be recommended to provide additional time to a faculty member who is making an essential contribution to the School of Medicine. The department's expectations for the faculty member to demonstrate scholarly or clinical achievement necessary for promotion and support that will be provided to the faculty member to meet those expectations will be documented as part of the annual review process. Meeting the Department Director's expectations as set forth in the annual review does not guarantee promotion. The Committee

requires documentation that the individual has received explanation of the review process by the Vice Dean for Faculty or his or her designee. The Committee will continue to review all three to five year reappointment contracts two years prior to the end of each contract period. Each time, the Committee will either: (i) advise the Department Director to nominate the individual for promotion and recommend reappointment at rank with one year contract(s) during the review process, (ii) recommend a notice of non-renewal of contract, or (iii) recommend reappointment at rank for three to five years.

The Associate Professor Reappointment Review Committee meets to review Associate Professors who have not been promoted by the end of six years, nine years, and two years prior to the end of three-to-five year reappointment contracts. The Committee sends its recommendations in writing to the Dean, the Department Director, the faculty member, and the ABMF. The ABMF reviews the recommendation and submits approved recommendations for reappointment to the Dean who notifies the faculty member of the reappointment.

The Committee's recommendations will be based on: (i) evaluation of the Department Director's recommendation, (ii) evaluation of the potential for continued and/or improved productivity and academic advancement by the faculty member, and (iii) the relationship of the faculty member to the academic program, resources, and space of the department and the School in general.

D. APPOINTMENT OR PROMOTION TO THE RANK OF PROFESSOR

- 1. Criteria for appointment or promotion to rank**
Candidates for Professor on the Scholarship Track must have outstanding records of scholarly achievement (including teaching), must have achieved national leadership and, in many cases, international professional recognition, and must rank among the foremost leaders in their field. Candidates for Professor on the Clinical Excellence Track must have outstanding records of clinical excellence achievement, including teaching clinically excellent care, must have achieved national recognition for clinical excellence, and must be recognized by peers and leaders as among the foremost

clinicians in their field. Suggestions for documenting outstanding scholarly or clinical achievements, national leadership, and international recognition in various career pathways are distributed by the Vice Dean for Faculty in the Silver Book or other publications from time to time. As required of all faculty members, candidates proposed for appointment or promotion must also carry out their academic and/or patient care responsibilities with professional competence, intellectual honesty, high ethical standards, and in a manner consistent with the policies and procedures of the University.

2. **Procedure for appointment or promotion to the rank of Professor**

- The Department Director reviews the candidate with the aid of a Departmental and/or interdepartmental committee in accordance with Department procedures.
- The Department Director makes a recommendation to the Dean with supporting materials.
- For candidates on the Clinical Excellence Track, the Dean forwards the recommendation to the Clinical Excellence Review Committee for consideration for appointment or promotion.
- For candidates on the Scholarship Track, the Dean forwards the recommendation for consideration for appointment or promotion to the PPC.

3. **Clinical Excellence Review Committee**

- All candidates for appointment or promotion on the Clinical Excellence Track for the rank of Professor will first be reviewed by the Clinical Excellence Review Committee. The Committee will review the candidate's appointment/promotional portfolio, institutional measures of clinical performance, quality and safety, and request and review all referee letters and references from leaders, peers, patients, and learners. After a full review of appointment or promotional materials, the Committee will vote on whether to recommend the candidate for appointment or promotion to the PPC.
- Recommendations for appointment or promotion will be forwarded to the PPC for vote.
- Recommendations against appointment or promotion will be communicated to the Dean, who will notify the Department Director.

4. **Professorial Promotions Committee (PPC) review**

a. **Faculty on the Scholarship Track**

The PPC receives nominations for appointment or promotion to the rank of Professor from the Dean. An ad hoc subcommittee is appointed by the PPC and chaired by a member of the PPC. The subcommittee seeks information on the candidate from within and outside the School of Medicine. After extensive review, the subcommittee makes a recommendation to the PPC, and the PPC votes on whether or not to recommend the appointment or promotion of the candidate.

A recommendation by the PPC for appointment or promotion is sent to the ABMF for review and vote. The favorable recommendation of the ABMF is referred to the University and Board of Trustees for final approval. The Dean notifies the faculty member of the Trustees' approval for appointment or promotion.

If the PPC recommends against appointment or promotion of a faculty member, it reports this decision to the Dean. The Dean then forwards the PPC decision to the Department Director. The Department Director has the right to appeal this decision to the ABMF. If the PPC (or ABMF) does not recommend appointment to Professor, in the case of new appointments, the candidate may instead be appointed at the rank of Associate Professor after review by the APPC. Alternatively, the PPC may recommend no faculty appointment, in which case, the Professor (PAR) appointment will terminate upon six months written notice of the PPC decision.

b. **Faculty on the Clinical Excellence Track**

Upon recommendation of the Clinical Excellence Review Committee, the PPC votes on whether or not to recommend the appointment or promotion of the candidate. A recommendation by the PPC for appointment or promotion is sent to the ABMF for review and vote. The favorable recommendation of the ABMF is referred to the University and Board of Trustees for final approval. The Dean notifies the faculty member of the Trustees' approval for appointment or promotion.

If the PPC recommends against appointment or promotion of a faculty member, it reports this decision to the Dean. The Dean then forwards the final PPC decision to the Department Director and the Clinical Excellence Review Committee. The Department Director has the right to appeal this decision to the ABMF. If the PPC (or ABMF) does not recommend appointment or promotion to Professor, in the case of new appointments, the candidate may instead be appointed at the rank of Associate Professor after review by the APPC. Alternatively, the PPC may recommend no faculty appointment, in which case, the Professor (PAR) appointment will terminate upon six months written notice of the PPC decision.

E. EXCEPTIONS TO TIME PERIODS FOR REAPPOINTMENT REVIEW

A reappointment review process will be initiated for a full-time faculty member at the specified periods as outlined in the guidelines above, except with approval of the Dean in cases of prolonged illness or approved leave of absence. A Department Director's recommendation for deferral of reappointment review should be forwarded to the Dean for approval, after which the faculty member will be notified of the Dean's decision.

Faculty members spending 50% or more of their time in administration outside the department may choose to have their administrative appointment considered a primary appointment and their departmental appointment considered secondary. The faculty member and the Department Director must agree at the beginning of the administrative appointment that it is primary. This agreement is subject to the approval of the Dean, who must notify the Reappointment Review Committee of the determination. The time during which a faculty member has a primary appointment in administration will not be counted within the periods for reappointment review, unless the faculty member so chooses.

If employment as a member of the full-time faculty in the University is interrupted for more than three consecutive years, the time for reappointment review will be calculated from the time employment resumes. If the interruption is less than three consecutive years, the time for reappointment review will be calculated from the initial faculty appointment

at that rank, excluding the time absent from the full-time faculty. In the event of a shift of primary appointment within the School of Medicine, the time since the initial appointment at rank will ordinarily be considered the period of service, unless other arrangements are made with the Department Director and approved by the Dean.

F. OTHER TIME OPTIONS PERTAINING TO ACADEMIC ADVANCEMENT

The School of Medicine recognizes that additional flexible options may be required for some faculty members. The following two options currently available to faculty members allow continued employment and the potential for future academic advancement in the School of Medicine.

1. **Part-time status:** A faculty member may request a change of status from Full-time to Part-time. Part-time status may be either with or without salary, which depends upon the work activities anticipated and the establishment of a contractual work agreement subject to approval by the Division Director, Department Director, or both, and the faculty member. The time during which a faculty member has Part-time status will not be counted within the period for reappointment review.
2. **Limited Full-time status:** A faculty member may request to change his or her status from Full-time to Limited Full-time, which is defined as 75% of Full-time (considered to be no less than 28 hours per week). This request will be subject to approval by the Division Director, Department Director, or both, and the faculty member, and will require a contractual work agreement specifying a defined number of hours per week at a reduction in salary commensurate with the reduction in work activities. The time during which a faculty member retains this status will be counted as $3/4$ time within the periods of reappointment review.

If a faculty member's request to change status to either Part-time or Limited Full-time is denied at the Divisional or Departmental level, the faculty member may appeal the denial to the Dean.

Faculty members with Part-time or Limited Full-time status should receive annual review and career counseling from their Departments to ensure that their career objectives are being met and their work contracts are being followed.

V. CONTRACTS AND CONTRACT PERIODS

A. OFFER LETTERS AND LETTERS OF APPOINTMENT

The terms of the contract between the School of Medicine and a faculty member are set forth in the offer and appointment letters and any addenda to such letters. The offer letter specifies contingencies that must be met before the contract becomes effective, such as approval by the ABMF or referral to the University and action of the University's Board of Trustees (if applicable), and appointment to the medical staff of The Johns Hopkins Hospital or any other clinical entity (if applicable). The faculty member will receive formal notification of the final acceptance of the contract in a letter from the Dean.

Each subsequent year (for contracts covering more than one year), a letter will be sent to the faculty member confirming the type and total period of the appointment. Acceptance of an offer of employment or reappointment means the faculty member and the University agree to comply with the terms of the offer letter and all applicable rules and regulations of the School of Medicine as well as those of the University.

B. NOTICE OF NONRENEWAL OF CONTRACTS

A minimum of six months written notice of nonrenewal, with a copy to the Dean, shall be given to those holding special faculty ranks as explained in Section III-A. All other faculty members shall receive a minimum of twelve month's written notice of nonrenewal, except: (i) Instructors and Assistant Professors in their first year of appointment at rank, who may be given six months' notice of nonrenewal at any time in the first year, and (ii) Associate Professors after the fifth year of their appointment, who must be given two years written notice of nonrenewal. Notice of nonrenewal may be given at any time. If the faculty member's contract expires before the end of the notice period, the faculty member shall be granted a limited appointment to bridge the gap between the expiration of their contract and the end of the notice period.

C. CONTRACT TERMS

Special Faculty Ranks

Contracts are for no more than one year and may be for less.

Instructors

Contracts are for one year, renewable three times. Under special circumstances, the Department Director may recommend an appointment beyond the fourth year. Any contract for an Instructor beyond the fourth year must be approved by the Instructor and Assistant Professor Reappointment Review Committee.

Assistant Professors

Contracts are for a minimum of one year and may not exceed five years.

Associate Professors (PAR)

Appointments may be terminated without need for notice at the end of the initial PAR appointment period, absent express written consent from the Dean of the School of Medicine, where the delay in regular appointment is due to failure on the part of the newly recruited faculty member. Where the APPC does not recommend a faculty appointment after review, the PAR appointment will terminate upon six months written notice of the APPC decision.

Associate Professors

Contracts are for a minimum of three years and may not exceed five years. In rare cases, a contract to retirement may be approved with referral to the University and action of the Board of Trustees as set forth in Section IV-C.7.

Professors (PAR)

Appointments may be terminated without need for notice at the end of the initial PAR appointment period, absent express written consent from the Dean of the School of Medicine, where the delay in regular appointment is due to failure on the part of the newly recruited faculty member. Where the PPC does not recommend a faculty appointment after review, the PAR appointment will terminate upon six months written notice of the PPC decision.

Professors

Professors will normally be given contracts to retirement following referral to the University and action of the Board of Trustees. In special cases, contracts of shorter duration may be given, but such contracts will require the approval of the ABMF.

D. TERMINATION OF CONTRACTS

It is understood that just as the contract is legally binding on the University, it is also binding on the faculty member. Therefore, a faculty member who wishes to terminate his or her contract must notify the Department Director in writing at least six months, or less by mutual consent, prior to the scheduled date of termination. Departing clinical faculty must comply with the off-boarding requirements of the Clinical Practice Association.

The only circumstances under which the School of Medicine (or for faculty with contracts to retirement, the University Board of Trustees) may terminate a contract with a faculty member are where just cause or financial exigency exists, where the medical staff appointment of a clinical faculty member is terminated by The Johns Hopkins Hospital, the Johns Hopkins Bayview Medical Center, or any other entity at which the faculty member's practice contributes to the department's clinical activities.

1. **Just Cause:** Incompetence, neglect of duty, misconduct in office (including without limitation academic misconduct, scientific misconduct as defined in applicable University research misconduct policy(ies) or violation of other University policy(ies)), moral turpitude, or any other basis for revocation of tenure established by the University Board of Trustees shall constitute just cause for termination of the contract of a faculty member. Termination for just cause shall be initiated by the Department Director or Dean (or their designee) in accordance with applicable policies and procedures, including procedures for appeals. A decision by the ABMF (or for faculty with contracts to retirement, the University Board of Trustees) to terminate the contract of a faculty member shall not take effect until the exhaustion of timely appeals, if applicable.
2. **Financial Exigency:** Financial exigency in the School of Medicine is defined as either an anticipated school-wide or departmental budgetary deficit so great that a reduction of faculty salaries or faculty positions must be contemplated. A state of exigency may be announced at any time by the University Board of Trustees. The Dean shall consult with the ABMF and the Faculty Senate to assess the magnitude of the financial exigency and the extent of reduction, if any, in the fiscal obligations of the School. This must be effected in order to resolve the exigency.

Thereupon, an ad hoc committee of the faculty, consisting of the Dean, four members chosen by the ABMF, and four members chosen by the Faculty Senate, shall be created, including persons from the basic science and clinical departments.

The ad hoc committee shall recommend to the Dean, the President, and the University Board of Trustees which members of the faculty are to have their contracts terminated prematurely or their salaries reduced. Following these actions, all remaining faculty contracts shall be reaffirmed by written communication to the entire faculty. However, the Dean, with the President and University Board of Trustees' approval, shall have the final authority to make all decisions regarding which members of the faculty will have their contracts prematurely terminated or salaries reduced, and all such decisions shall be final.

3. **Termination of Medical Staff Appointment:**

- a. All members of the Full-time faculty with clinical responsibilities are required to apply for and be appointed to the medical staff of either The Johns Hopkins Hospital or the Johns Hopkins Bayview Medical Center (or other clinical entity agreed upon by the faculty member and the Department Director in writing) and to maintain their medical staff appointments in good standing while they are members of the faculty of the School of Medicine. If: (i) the Board of Trustees of The Johns Hopkins Hospital, the Johns Hopkins Bayview Medical Center, or other entity at which the faculty member practices, takes disciplinary action pursuant to the applicable medical staff bylaws to terminate a faculty member's medical staff appointment or to limit the faculty member's clinical privileges to such an extent that the faculty member's clinical practice is significantly reduced, or (ii) the faculty member voluntarily surrenders his or her privileges or agrees to a significant reduction in his or her privileges while under investigation, then his or her faculty appointment will automatically terminate. The date of termination is the date the medical staff appointment terminates or the clinical privileges are limited or surrendered.

- b. This provision shall not apply if: (i) prior to the termination of the medical staff appointment or the reduction in or voluntary surrender/reduction of privileges, the Department Director and the faculty member have agreed in writing that the faculty member is to cease clinical practice and will engage in other responsibilities, or is to continue clinical practice at the reduced level, (ii) the termination, reduction or voluntary surrender/reduction of privileges relates to a disability that limits the faculty member's clinical practice, or (iii) a termination of privileges is the result of technical errors that the faculty member promptly resolves with full restoration of privileges.

VI. COMPENSATION OF FACULTY MEMBERS

A. COMMON OBLIGATIONS

Only part of the total compensation budget of the School of Medicine derives from tuition and endowment income of the University. By far, the greater part must derive from other and less certain sources, such as grants and contracts from local, state, and federal government agencies for projects supervised or carried out by faculty members, and from fees collected for faculty services to patients. Such outside sources of funds are usually restricted and short-term in nature; moreover, they often are unpredictable.

It is a common obligation of all administrative officers and faculty members in the School of Medicine to participate in efforts to generate income in connection with research grants, contracts, patient care, and other activities for which they have academic responsibility.

Faculty members are expected to make timely applications for research support from public and private sources and to satisfy reporting obligations of sponsoring organizations and agencies in a timely way.

B. COMPENSATION

A faculty member's compensation will include a base salary and may include additional salary associated with specific projects or roles and/or a bonus in accordance with the applicable departmental compensation plan. Each year the

Department Director, with the approval of the Dean, will determine the compensation of departmental faculty in accordance with the applicable departmental compensation plan, and notify individual faculty of their compensation and its components. Base salary may be reduced only in accordance with the procedures below. Additional salary may be adjusted at any time when the role or project for which the supplement is provided, changes, or ends. Bonus payments are contingent on satisfying the requirements set forth in the departmental incentive plan.

For faculty other than special faculty ranks, reductions of base salary may occur only as follows:

1. As a consequence of financial exigency as defined in Section V-D, "Termination of Contracts."
2. When in the judgment of the Dean and the Department Director, a faculty member's professional activities (clinical, research, teaching or administrative) indicate that such a base salary reduction would be appropriate, intention to reduce the faculty member's base salary must be provided in written form to the faculty member at least six months prior to the proposed reduction for Professors, Associate Professors, Assistant Professors and Instructors. Reduction in base salary paid by the University may not be carried out at a rate that exceeds 20% per annum of the base salary during the contract year immediately prior to the initial salary reduction. Such salary reduction requires the approval of the ABMF and the Associate Professor Reappointment Review Committee in the case of faculty members with the rank of Professor or Associate Professor or the approval of the ABMF and Instructor and Assistant Professor Reappointment Review Committee in the case of Assistant Professors and Instructors. A faculty member may waive the requirements for these approvals.

Research associates and others holding special faculty ranks will be given 90 days' notice of base salary reduction. The decision to reduce base salary will be approved by the Vice Dean for Faculty.

C. TEMPORARY REDUCTIONS IN SALARY DURING PERIODS OF SUSPENSION FROM HOSPITAL MEDICAL STAFF

The salary of any member of the full-time faculty with clinical responsibilities who is administratively suspended from the

medical staff of The Johns Hopkins Hospital, the Johns Hopkins Bayview Medical Center, or other clinical site due to the faculty member's failure to comply with hospital or other clinical site requirements and who is unable to perform clinical responsibilities as a result may be reduced by up to the then-current percentage of the faculty member's salary supported by clinical practice. The salary reduction will be effective for the period of suspension from the medical staff. If a faculty member and the Department Director agree, the faculty member may temporarily adjust his or her responsibilities to nonclinical responsibilities during the period of suspension without a reduction in salary provided there are funds available to support the nonclinical activities and the faculty member makes up his or her clinical responsibilities when his or her medical staff privileges are restored. Proposed reductions or reassignments to nonclinical duties must be approved by the Vice Dean for Faculty. The reduction in salary or reassignment to nonclinical duties provided for in this section is in addition to any other action that may be appropriate under the particular circumstances and does not prevent the School of Medicine from taking any other action in addition to the salary reduction or reassignment to nonclinical duties that is warranted by the circumstances.

VII. EQUAL OPPORTUNITY

The University enforces fair and equal treatment of the University community. The University's Statement on Diversity & Inclusion, Sexual Misconduct Policy and Procedures, Equal Opportunity Statement, General Anti-Harassment Policy, Discrimination and Harassment Policy and Procedures, and Statement of Principles on Academic Freedom can be found online at: <http://oie.jhu.edu/policies-and-laws/jhu-policies/index.html>.

VIII. APPEALS

Unless the matter is the subject of another University or School of Medicine policy that includes an appeal procedure, faculty members may appeal an adverse decision under any of the provisions set out in this document to the Dean of the Medical Faculty (or to the Provost in cases where the Dean was involved in the decision) by notifying him or her in writing within thirty (30) days of the decision. The Dean's (or Provost's) review will be limited to review of whether the

procedures set forth in this document were followed and his or her decision will be final.

IX. LEAVES OF ABSENCE

A. ACADEMIC (SABBATICAL) LEAVES

Qualified full-time faculty members are encouraged to apply for occasional leaves of absence for scholarly and educational purposes when significant opportunities present themselves and when the leaves can be arranged without extra expense to the School of Medicine and without impairing educational programs. Such leaves are recognized to have the potential to increase the value of the faculty member to the School and to the University. The time a faculty member spends on sabbatical leave will ordinarily be included in time periods for reappointment review.

Academic (sabbatical) leaves are not an automatic, periodic right, but must be applied for through the Department Director and approved by the Dean and ABMF. Academic (sabbatical) leave with financial support from the University will usually be limited to faculty members who are at the Associate Professor or Professor rank and have at least six years of full-time service at the University. Arrangements to fulfill faculty members' duties while they are on leave must be made with their Department Director and the Dean and will depend in part on the funds available for the program from outside sources. The School of Medicine may support the leave of a faculty member up to the maximum rate of full salary for six months, or half salary for a full year.

B. NONACADEMIC LEAVES

1. **Medical Leaves:** are governed by the University's Family and Medical Leave Policy (<http://hrnt.jhu.edu/pol-man/section/section15.cfm>).
2. **Parental Leaves:** are governed by the University Policy on Family Leave for New Parents (<https://www.jhu.edu/assets/uploads/2017/06/familyleavefornewparents.pdf>).
3. **Personal Leaves:** A faculty member may request a leave of absence from his or her faculty responsibilities for personal reasons unrelated to his or her School of Medicine appointment. Such leaves and their terms are granted at the complete discretion of the Department Director, and are subject to the approval of the Dean.

Faculty members whose own illness prevents them from returning to their faculty responsibilities following exhaustion of Family and Medical Leave may be granted a leave of absence for up to one year following the date on which Family and Medical Leave began. This leave may be extended at the discretion of the Department Director and the Dean. For all other personal leaves under this section, the leave may not exceed one year in duration, except as required by applicable law. Personal leaves are granted without any guarantees that the Full-time faculty position will be available at the expiration of the leave, except as required by applicable law. Personal leave, if granted, is without salary. A faculty member on a personal leave of absence may elect to continue certain benefits during the leave and will be responsible for the employee portion of the cost of benefits continued during the leave. For questions regarding benefits during periods of leave, contact the JHU Benefits Office at benefits@jhu.edu or 410-516-2000.

4. **Professional Leaves:** On occasion, a faculty member may be appointed to a prestigious position in another institution or organization and both the faculty member and the School of Medicine may desire to retain the faculty member's affiliation with the School of Medicine. With the approval of the Department Director, the Dean may grant to such faculty member a leave of absence without salary for a period of two years; the leave can be renewed at the discretion of the Dean. If the leave is extended beyond two years, it is without guarantee that the Full-time faculty position will be available at the expiration. Professional Leave, if granted, is without salary. The faculty member may elect to continue certain benefits during the leave and will be responsible for the employee portion of the cost of benefits continued during the leave. For questions regarding benefits during periods of leave, contact the JHU Benefits Office at benefits@jhu.edu or 410-516-2000.

X. REVIEW AND AMENDMENT OF THIS POLICY

Amendment of this policy may be proposed at any time by either the Faculty Senate or the ABMF and will be considered by a joint committee of the Faculty Senate and the ABMF. The joint committee will then make a recommendation to both bodies. The amendment will take effect when it is approved by both the Faculty Senate and the ABMF.

Faculty Policy Websites

http://www.hopkinsmedicine.org/Research/OPC/Policies_Regulations/

<http://www.hopkinsmedicine.org/som/faculty/policies/index.html>

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