

# Faculty Handbook

California Northstate University



October 2018

9700 West Taron Drive, Elk Grove, California 95757  
2910 Prospect Park Drive, Rancho Cordova, California 95670

## Table of Contents

<b>1. Introduction to Faculty Handbook</b>	<b>3</b>
1.1 Mission, Vision, Values	3
1.2 Core Principles	3
1.3 Faculty Handbook and Integration with Other University Handbooks and Policies	3
1.4 Academic Freedom	4
<b>2. Faculty Promotion and Reappointment</b>	<b>5</b>
2.1 Promotion	5
2.2 Requirements for Reappointment	5
2.3 Resignation, Non-Renewal or Termination of Appointment	5
<b>3. Faculty Requirements and Development</b>	<b>5</b>
3.1 Faculty Office Hours	5
3.2 Faculty Development	6
3.3 Faculty Evaluation	6
3.4 Peer Review of Teaching	6
3.5 Mentoring Program	6
3.6 Faculty Recruitment	6
3.7 Part-Time Faculty	7
3.8 No Fraternization	7
<b>4. Academic Policies and Procedures</b>	<b>8</b>
4.1 Student Advising Program	8
4.2 Responsibilities of Course Coordinators	8
4.3 Responsibilities of Course Faculty	10
4.4 Submission of New Courses/Course Changes	10
4.5 Honor Code	10
4.6 Academic Integrity	10
4.7 Research and Publication	11
<b>5. Confirmation of Receipt</b>	<b>12</b>
<b>6. Appendices to Faculty Handbook</b>	<b>13</b>
6.1 Appendix A: President’s Office Review of Request of Promotion	13
6.2 Appendix B: Intellectual Property Policy	15
6.3 Appendix C: Policies, Procedures, and Criteria for Faculty Rank and Promotion	26

## 1. INTRODUCTION TO FACULTY HANDBOOK

### 1.1 Mission, Vision, Values

- A. **Mission:** *To advance the art and science of healthcare.*
- B. **Vision:** *To provide innovative education and healthcare delivery systems.*
- C. **Core Values (WECARE)**

#### *Working as a team*

#### *Embracing diversity and workplace excellence*

#### *Caring about our students, our staff, our faculty and our profession*

#### *Advancing our university, our goals, and our discipline*

#### *Responding to challenges that may impede our Mission*

#### *Enhancing communication and partnership*

### 1.2 Core Principles

Education is our business.

Education is about teaching and learning.

Education is effective when students can solve problems, pass the board exam, and have gainful careers.

Educational affordability is about the least time and cost to obtain the degree.

Education is delivered by faculty who are committed to high-yield teaching, low-stress/stress-free learning, and outcome-based SLOs (CLOs, PLOs, ILOs, and CoCLOs) assessment.

Education is delivered with a relevant curriculum characterized by integration of basic and clinical sciences, supported by technology, and taught by responsible and qualified faculty and staff who are loyal to the CNU's values, interests, and priorities.

Education should encompass not only cognitive and intellectual growth, but also social and emotional growth, moral development and character building.

Educational quality is maintained through governance oversight, program review, judicious use of resources, accountability, and administrative leadership.

### 1.3 Faculty Handbook and Integration with Other University Handbooks and Policies

Your California Northstate University Faculty Handbook ("Handbook") summarizes policies and practices in effect for University faculty at the time of publication. This Handbook supersedes all previously issued faculty handbooks. Various University policies and procedures are appended to or are incorporated by reference to this Handbook and should be treated as fully incorporated into this Handbook. There are additional policies and procedures that the University publishes and are available on University network drives with the intention to augment and supplement this Handbook.

Each College within California Northstate University ("University") may also have its own College Appendices, hyperlinks, or published policies and procedures to summarize faculty policies and practices with the intention to augment and supplement rather than supersede the provisions of this Handbook. Where an apparent conflict exists, this Handbook shall supersede the Appendices of the Colleges.

The University Employee Handbook explains the terms and conditions of employment of all University

employees, including faculty. Some employment conditions specific to faculty described in the University Faculty Handbook may be different than as described in the Employee Handbook. Since this Faculty Handbook is specific to faculty, its provisions supersede those of the Employee Handbook in apparent conflict; otherwise the Employee Handbook governs all other terms of employment.

Written employment contracts between some faculty members and the University may supersede some of the provisions of this Faculty Handbook. Where there is conflict between the faculty member's employment contract and this Faculty Handbook, the terms of the employment contract, properly entered into in accordance with University policy, shall prevail. Nothing in this Faculty Handbook shall supersede or otherwise limit At-Will Employment Status sections and other at-will provisions of the Employee Handbook.

## 1.4 Academic Freedom

California Northstate University assures academic freedom to all members of the faculty. The Statement of Principles on Academic Freedom and Tenure formulated in 1940 by the Association of American Colleges and the American Association of University Professors states, in part:

"Institutions of higher education are conducted for the common good..." [The Common good of the institution is grounded upon the primacy of student success, upon which the mission, vision, and values of the institution are based.]

"Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

"(a) Teachers are entitled to full freedom in research and the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

"(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

"(c) College and university teachers are citizens, members of a learned profession, and [faculty members] of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline [when acting lawfully and in accordance with accepted professional standards,] but their special position in the community imposes special obligations. As scholars and [members of their learned professions], they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, [should be sensitive to their audience and timing,] and should make every effort to indicate that they are not speaking for the institution."

California Northstate University is firmly committed to the tradition of academic freedom in American colleges and universities and seeks to maintain conditions which are conducive to open inquiry and free search for truth. In teaching, research, and scholarly activity, faculty have not only the right but the obligation to share their thought processes and resulting opinions and conclusions in analysis of educational material without fear that in doing so they are placing their job in jeopardy and without fear of retribution. Faculty shall at all times make it clear when they are expressing such an opinion or conclusion and that they are not representing the views of the institution. It is the right of students to express their opinions without concern for their grades and to express their opinions without fear of retribution. With academic freedom comes a responsibility to respect others' opinions. Academic

honesty is demanded of faculty and students alike.

(Reference: CNU Administrative Policy #2101)

## **2. Faculty Promotion and Reappointment**

### **2.1 Promotion**

Promotion of faculty at California Northstate University is based largely on the achievements of the individual faculty member while an employee of the University and not on those achievements attained while employed by previous private or public institutions or other organizations. Criteria for evaluation for promotion for all faculty are as follows: the period of employment by California Northstate University; an understanding and acceptance of and commitment to the purpose and objectives of the College; quality of performance; quality and quantity of assignments; evidence of cooperation, professionalism; proficiency as an educator; a record of scholarly accomplishments; commitment to ongoing professional development; availability to individual students for advisement and willingness to share in their concerns; participation in campus, professional, and community activities; and demonstrated competency in the professional discipline of the faculty member. In addition, a faculty member eligible for promotion demonstrates intellectual competence, integrity, independence, enthusiasm, and a spirit of scholarly inquiry. The University recognizes that faculty in the clinical areas have additional responsibilities in terms of service to a clinical practice site(s). The Office of the President will review all promotion dossiers for final approval. See Appendix A.

Please see Appendix C for the College of Medicine Policies, Procedures, and Criteria for Faculty Rank and Promotion, as well as Appendix D for the College of Medicine Promotion Process. Each College has its own Promotion Policy and Procedure, please refer to the individual Colleges' website to view.

### **2.2 Requirements for Reappointment**

Reappointments may be considered for eligible and qualified faculty. Refer to the Requirements for Reappointment Policy #1301. For Administrative appointments, please refer to Administrative Faculty Appointment Policy #1310.

### **2.3 Resignation, Non-Renewal or Termination of Appointment**

For resignation, non-renewal of Faculty Appointment, please refer to policy #1308. Termination of an appointment before the end of the appointment term (as opposed to nonrenewal of appointment) may be effected by the institution only for adequate cause. Refer to Faculty Termination Policy #1313. For Termination of Administrative Appointments, please refer to the Administrative Faculty Appointment Policy #1310.

## **3. Faculty Requirements and Development**

### **3.1 Faculty Office Hours**

Individual office hours for advising and student consultations should be listed in the course syllabus and posted on the learning management system. Faculty have the option of listing specific hours and/or to state "by appointment". All faculty teaching within a course must have a minimum of one hour per course unit hour each week dedicated to office hours. When not teaching a course, all faculty should be available for a minimum of three hours each week to meet with students. Office hours should not conflict with course schedules, and

should be within normal business hours.

## 3.2 Faculty Development

Ultimate success of a Faculty Development Program rests with the individual faculty member. Each faculty member should address his or her own needs, and through discussions with the Department Chair, focus on and address those needs through the Faculty Development Program.

Please refer to Faculty Development Policy and Procedures Policy #1700 and Faculty Professional Travel Policy #1304.

## 3.3 Faculty Evaluation

Each faculty member will discuss and document achievement of goals for the previous academic year, as well as projected goals for the current academic year, in an evaluation conference with the Department Chair during their annual review.

## 3.4 Peer Review of Teaching

The purpose for peer review of teaching is to assist individual faculty members in identifying strengths and weaknesses in their teaching. Peer review of teaching, along with student evaluations of teaching, provides a documented record of performance and contributions to teaching. Each faculty member is reviewed by a peer designated by the Department Chair. Each College has developed a peer review process designed to the specifications of the College's requirements.

## 3.5 Mentoring Program

The mentoring program of each college at CNU provides a structured relationship between a faculty member with experience (mentor) and a faculty member with less experience (e.g., new faculty or mentee). The purpose of a mentoring program is for the mentee to capitalize on the mentor's experience and enhance the probability of success. The Mentoring Program is part of the faculty member's overall academic development in the areas of teaching, research, and service. Refer to the individual College's mentoring program for additional information.

## 3.6 Faculty Recruitment

### Procedures for Selecting New Faculty

Following the Dean's request and the President's approval to hire a faculty replacement or additional faculty members, the Dean in consultation with the appropriate Department Chair will structure an ad hoc Search Committee that will conduct a faculty search and make recommendations to the Dean for appointment. The Dean will appoint the Chair of the Committee. The Search Committee will consist of at least three faculty from the respective Department.

The Committee will conduct a national search for candidates, screen all applications and select appropriate candidates for interviews, the names and credentials of which will be sent to the Dean for comment. An interview will be arranged which will provide an opportunity for all faculty especially those of the respective department to meet the candidate and attend the candidate's presentation. After and during the interview the Search Committee members will seek opinions of the faculty in developing a recommendation to the Dean concerning each candidate interviewed. The Dean and the Department Chair shall include the advice of the Search Committee concerning the offering of a position to a candidate.

Search Committee records shall be confidentially maintained in Human Resources Department for a minimum of five years.

### **Interview and Itinerary Procedure for Faculty**

It is recommended that the candidate have either breakfast, lunch, or dinner with two members of the Search Committee on the first day of the interview. This will impart a comfortable, non-threatening, social atmosphere where the committee representatives and the candidate can converse. During this time the candidate should be made aware of the mission, vision and goals of the College and the expected competencies of its graduates. The conversation must remain focused on the University, the College, and the job role.

It is recommended that formal interviews of approximately 30 minutes in length be scheduled with at least the following (others included when necessary):

- Dean
- Associate Dean for Academic Affairs
- Department Chair
- Search Committee
- Collective Faculty of the candidates department

### **New Candidate Presentation**

It is recommended that the prospective faculty member provide a presentation on his/her scholarly endeavors. While the candidates' personal and professional teaching philosophies are very important, these are to be evaluated during individual faculty and Search Committee interviews.

## **3.7 Part-Time Faculty**

Part-time faculty are used for specific courses and lectures when full-time faculty are unavailable. They are selected based on their expertise in the subject area. The Department Chair in the Department that is responsible for the course, evaluates the credentials of the faculty member. Part-time faculty are required to go through the same appointment process as full-time faculty. The teaching effectiveness of the part-time faculty is evaluated in the same manner as full-time faculty.

## **3.8 No Fraternization**

CNU prohibits sexual or dating relationships where there is an institutional power difference between the parties involved, for example, between a supervisor and an employee, or between a faculty and a student, or an academic advisor and an advisee. Relationships with this power disparity may cast doubt on the objectivity of the supervision and evaluation provided, and may result in claims of sexual harassment and questions about the voluntariness of the relationship. Employees of CNU who engage in a relationship prohibited by this policy may be subject to disciplinary action, up to and including termination of employment or, in the case of faculty, dismissal for cause.

In addition to the prohibition stated above, CNU strongly discourages romantic, intimate, or sexual relationships between a student and faculty, student and staff, or student and University administrator, regardless of whether one party has institutional responsibility for or authority over the other.

All employees engaged in a relationship that is discouraged by this policy are required to notify Human Resources of such relationship.

## **4. Academic Policies and Procedures**

## 4.1 Student Advising Program

The Student Advising Program is under the direction of your College's Assistant Dean for Student Affairs and Admissions. This program provides information for successful matriculation and professional development of our students and key faculty members are utilized as resource personnel.

All students will be assigned a faculty advisor during orientation who will serve as their advisor through the entire academic program.

This program requires a coordinated effort between the following:

A. Assistant Dean for Student Affairs and Admissions - The responsibilities of this office are to:

1. Provide faculty-training programs
2. Assign students to individual faculty advisors
3. Monitor the advising process

B. Faculty Members - The responsibilities of faculty advisors are to:

1. Participate in training programs provided by the Assistant Dean for Student Affairs and Admissions
2. Approve student registration forms
3. Advise and/or refer students as appropriate
4. Meet with advisees at least twice per semester
5. Monitor student academic progress and assist the student in seeking appropriate help
6. Provide status reports on each advisee to the Assistant Dean for Student Affairs and Admissions at the end of each semester
7. Monitor the advisee's academic portfolio

C. Student Advisees - It is the student's responsibility to be aware of all College degree requirements as published in the academic catalog, and to insure that such requirements have been met or that appropriate waivers have been secured and filed in the Office of the Registrar. The specific responsibilities of the advisees under this program are to:

1. Obtain registration approval from their faculty advisor
2. Meet with advisor at least twice per semester
3. Evaluate the faculty advisor annually

## 4.2 Responsibilities of Course Coordinators

### A. Develop Course Policies and Procedures in Cooperation with Course Faculty

It is the responsibility of the course coordinator to ensure the faculty in the course are in agreement on course procedures. All faculty should have a sense of commitment to the entire course, not limited to the areas in which they teach. To build this commitment the coordinator should do the following:

1. Course coordinators are expected to work with the curriculum committee and Assistant/Associate Dean of Academic Affairs for their respective College for teaching and exam scheduling as well as content of courses. Prior to the course, meet with the course faculty to reach consensus on the course structure including: teaching and exam schedule, use of active learning components, number of exams, exam construction (format of questions, plan for the cumulative component of all exams, deadline for submission of exam questions and answers), content of course pack (if applicable), deadline/timelines for any other materials or activities

required of course faculty, point distribution for exams and other activities, and changes to any policies or procedures on the syllabus (if applicable).

2. In the event consensus cannot be reached regarding the above elements of the course, the final decision should be based upon the majority opinion of the course faculty.
3. Review exam questions for consistency with determined format, grammatical errors and appropriate length. Contact individual faculty regarding any edits to their questions other than grammatical and reach agreement.
4. Provide the item analysis of the entire exam to all faculty members who wrote questions for the exam. If the item analysis indicates a question should be dropped from an exam, the course coordinator should contact the faculty member who wrote the question and reach agreement.
5. Contact individual course faculty regarding any issues from the focus group or other enrollees in the course that pertain directly to that faculty member to achieve joint resolution.
6. Following each examination, provide a copy of the grade roster from the exam to those course faculty members who desire a copy. Furthermore, make the complete grade book available to all course faculty members at their request.
7. Calculate final grades in the course according to the grading scale on the syllabus. Provide these grades to the course faculty who desire a copy. Enter the grades on the official grade roster and submit to the registrar.
8. At the conclusion of the course, meet with the course faculty to discuss successes and changes for future offerings of the course.

## **B. Maintain the Course Syllabus**

It is the responsibility of the course coordinator to maintain the course syllabus and ensure the syllabus used reflects what was approved by the curriculum committee. The course coordinator should adhere to the following policies established by the curriculum committee:

1. All syllabi should contain the information on the curriculum committee's "Checklist for Syllabus Content."
2. Minor changes in course content are permissible and the syllabus should reflect these changes.
3. Major changes in the course content must be approved by the Curriculum Committee (e.g. removal of a disease state topic). The syllabus should reflect these changes.

## **C. Implement Course and School Policies and Procedures**

1. Provide the examination dates to the Associate Dean for Academic Affairs or other designated Associate/Assistant Dean prior to the start of the semester.
2. Provide a copy (paper or electronic) of the final course schedule (including teaching and exam dates) and syllabus to the course faculty, Curriculum Committee Chair, Department Chairs, and Associate Dean for Academic Affairs and Research prior to the first day of class.
3. Post the final course schedule and syllabus to ASAP before the first day of class.
4. Arrange for course shells in CAMS (if applicable) in coordination with the College's Instructional Technology Center adhering to deadlines.
5. Remind course faculty they are responsible for following copyright law including proper referencing of sources, posting copyright notices and obtaining copyright permissions as needed.
6. Get approval from course coordinator's Department Chair to pay honoraria for outside lecturers.
7. Monitor the final course schedule for adherence by course faculty. In the event faculty do not need all allotted time, seek, if possible, utilization of the time for other course activities aimed at enhancing learning in lieu of canceling class.
8. Schedule periodic meetings with the focus group and address concerns.
9. Ensure there are cumulative components to all examinations within and at the end of the course.
10. Administer examinations (or arrange for the administration of examinations by other course faculty) including makeup examinations (if applicable).
11. Return results of examinations to the students in a timely manner. The examination return policy

should reflect the policy of the course coordinator's academic department.

12. Maintain ultimate responsibility for the grade book, the student's final grade, or changing a student's grade.
13. Meet deadline for submission of the student's final grade to the Registrar's Office.
14. Respond to formal grade appeals and honor code violations in a timely manner according to the College's Policy.
15. Review of the Course within four weeks of its completion and submit a report to the Curriculum Committee, Department Chair, and/or Associate Dean for Academic Affairs or other designated Associate/Assistant Dean.

### **4.3 Responsibilities of Course Faculty**

1. Meet the deadlines for submission of handouts, exam questions and answers, and other course materials.
2. Follow copyright law including proper referencing of sources, posting copyright notices and obtaining copyright permissions as needed.
3. Based on consensus reached regarding administration of examinations, be prepared to administer an examination in which the faculty member has a significant number of questions.
4. Adhere to the course schedule. Obtain approval from the course coordinator for scheduling of any outside activities beyond those indicated in the final schedule. Obtain approval from the course coordinator for any desired changes to the final teaching schedule. Inform the course coordinator if allotted time will not be used in its entirety, so that the time can be used for other course related activities to enhance learning.

### **4.4 Submission of New Courses/Course Changes**

All submissions of new courses or changes in existing courses must be initiated at the departmental level before being submitted to the College Curriculum Committee. The Curriculum Committee will submit its recommendation to the entire College faculty for discussion and faculty vote. The remainder of this process will be in accordance with University and College policy and procedure.

### **4.5 Honor Code**

California Northstate University operates under an Honor Code that is intended to serve as a guideline for ethical behavior. Students and faculty alike are bound by this Code and are expected to uphold the articles of the Code. Faculty members are urged to report all violations of the Code to the College's Honor Council. The Council, observing strict confidentiality, investigates all allegations and recommends an appropriate course of action.

The Bylaws of the College's Honor Council are published in the Student Handbook. Faculty members are advised to become familiar with Honor Council procedures. CNU is committed to ensuring a safe and supportive learning environment. Please refer to the Positive Learning Environment and Mistreatment Policy #4800 enacted by the College of Medicine and adopted by all College in the University.

### **4.6 Academic Integrity**

California Northstate University expects faculty, as members of the academic community, to uphold the standards of academic integrity. (Violations of academic integrity) include, but are not limited to: violations of the Honor Code, plagiarism, cheating, lying, and academic theft. The University considers these violations aforementioned to be serious offenses. Any questions or concerns in regards to this should be directed to the respective College's Assistant/Associate Dean for Academic Affairs.

### **4.7 Research and Publication**

Faculty are encouraged to pursue scholarly activities including research publications. Please refer to the Intellectual Property Policy labeled as Appendix B.

## **5. Confirmation of Receipt**

I confirm my receipt of my copy of the California Northstate University's Faculty Handbook. I understand that it is my responsibility to read, familiarize myself with, and follow the policies and procedures contained or referenced within the Faculty Handbook.

Faculty Member's Signature \_\_\_\_\_

Faculty Member's Printed Name \_\_\_\_\_

Date \_\_\_\_\_

## **6. Appendices to Faculty Handbook**

### **6.1 Appendix A: President's Office Review of Request of Promotion**

The Office of the President shall review the recommendation by the Dean and the Chair of the Rank and

Promotion Committee and the dossier/portfolio of the faculty candidate.

The President’s Office will render a decision based on the following criteria:

1. The promotion policy is followed.
2. There exists a described quantifiable process to access the candidate’s dossier/portfolio.
3. The strength of the evidence supporting the request for promotion is described.
4. The integrity of the review process is maintained throughout review process from the Human Resource perspective.

The Office of the President may render the following action:

1. Grant approval for promotion
2. Denial request for promotion
3. Request further information or clarification before rendering a decision

Criteria	Met/ Not Met	Comment
1. Years of employment met		
2. An understanding and acceptance of, and commitment to, the purpose and objectives of the College		
3. Quality of performance		
4. Quality and quantity of assignments		
5. Evidence of cooperation, positive outlook, and maturity		
6. Proficiency as an educator		
7. A record of scholarly accomplishments		
8. Evidence of ongoing professional development		
9. Evidence of availability to individual students for advisement and willingness to share in their concerns		
10. Evidence of involvement and participation in campus, professional, and community activities		
11. Demonstrated competency in the professional discipline of the faculty member		
12. Demonstrates intellectual competence, integrity, independence, enthusiasm, and a spirit of scholarly inquiry		
13. Faculty in the clinical areas have additional responsibilities in terms of service to a clinical practice site		
14. Appendix A-A: Teaching indicators are reviewed		
15. Appendix A-B: Scholarly/Research Activity are reviewed		
16. Appendix A-C: Professional Service are reviewed		

The Office of the President has reviewed the recommendation based on the Policy:

**ASSOCIATE PROFESSOR**

1. Definition: faculty who possess a Doctoral degree in his/her discipline, meets the criteria for rank of Assistant Professor, and demonstrates a sustained and significant record of accomplishments in teaching, scholarship/research activities, and professional service.
2. Time in previous rank: a minimum of five (5) years must be spent at the rank of Assistant Professor at CNU before consideration can be given to promotion to the rank of Associate Professor; however, the candidate may have the opportunity to apply early for consideration for promotion based on previous time and service credit recommended by the Rank and Promotion Committee, endorsed by the Dean, and awarded by the President under the authority granted by the Board of Trustees.
3. Academic areas considered for promotion to this rank: *excels* in two of the three areas of teaching, scholarship/research activities, and professional service, while *demonstrating satisfactory* activity in the third area.

**PROFESSOR**

1. Definition: faculty who possess a Doctoral degree in his/her discipline, meets the criteria for rank of Associate Professor and demonstrates continued sustained and significant record of accomplishments in teaching, scholarship/research, and professional service. The rank of Professor is among the highest honors that the college can bestow upon a faculty member. Therefore, this rank is granted only to faculty members who have distinguished themselves in their discipline at national and/or international levels. The faculty member must demonstrate a sustained record of outstanding achievements in teaching, scholarship/research activities, and professional service. The faculty member must *excel* in two of the three academic areas, and demonstrate *significant activity* and *accomplishment* in the third area. Although other factors will be considered, consultantships, publications in peer-reviewed journals, invited “editorialships” and lectureships, and the holding of a professional societal office will be important factors considered in assessing a faculty candidate’s accomplishments.
2. Time in previous rank: a minimum of five (5) years must be spent at the rank of Associate Professor at CNU before consideration can be given to promotion to the rank of Professor; however, the candidate may have the opportunity to apply early for consideration for promotion based on previous time and service credit recommended by the Rank and Promotion Committee, endorsed by the Dean, and awarded by the President under the authority granted by the Board of Trustees.
3. Academic areas considered for promotion to this rank: sustained record of *outstanding achievements* in two of the academic areas of teaching, scholarship/research activities, and professional service, while *maintaining excellence* in the third area.

Narrative decision: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_  
President of the University

## INTELLECTUAL PROPERTY POLICY

### Purpose

The purpose of this Intellectual Property Policy (“Policy”) is to set forth the general policies that define the rights and obligations of California Northstate University (“University”); all persons employed by the University including its faculty, staff, students; and, all persons and entities using the University’s funds, space, facilities, materials, personnel, or other resources.

### Definitions

For the purposes of the Policy, the following terms are defined as follows:

**University:** California Northstate University, LLC, its colleges, its departments and offices, and any related foundation or other related entity formally associated with the University.

**Copyrightable Work:** An original work of authorship which has been fixed in any tangible medium of expression from which it can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device, such as a book, magazine, journal, software, computer program, pictorial or graphic work, video, sound recording, multimedia product, dramatic work, musical work, etc. A Copyrightable Work may be the product of a single author or a group of collaborating authors.

**Creator:** Any faculty, staff, and other persons employed by the University, whether full time or part time, visiting faculty and researchers, students, and any other persons who create or discover Intellectual Property at the direction of the University or using University resources. A Creator may be a single person or entity, or a group of collaborating persons and entities. A Creator of an Invention, however, must be an inventor of the Invention as defined by the United States patent laws or, if protection is sought outside of the United States, by the legal standards of the country in which rights are sought.

**Institutional Works:** Works created at the instigation of the University, under the specific direction of the University, for the University’s use, by persons, entities, or both acting within the scope of their employment or otherwise subject to a written contract with the University.

**Intellectual Property:** All forms of intellectual property, including but not limited to Copyrightable Works, Inventions, Tangible Research Property, Trademarks, and Trade Secrets.

**Invention:** The legal construct of an Invention is defined by the United States patent laws or, if protection is sought outside of the United States, by the laws of the country in which patent rights are sought. In the United States, an Invention can be any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof. Intellectual Property can be considered an Invention, for example, if it reasonably appears to qualify for protection under the law of the country in which protection is sought, whether or not the Intellectual Property is determined to be

actually patentable. An Invention may be the product of a single inventor or a group of collaborating inventors.

**Patent:** A set of exclusive rights granted by a government to an inventor or assignee for a limited period of time in exchange for a public disclosure of an Invention.

**Policy:** This Intellectual Property Policy of California Northstate University as set-forth herein.

**Software:** Written programs or procedures or rules and associated documentation pertaining to the operation of a computer system and that are stored in read/write memory. Software includes computer programs, computer databases, documentation, source code, source code listings, design details, algorithms, processes, flow charts, formulae, and any related materials that would enable software to be produced, reproduced, recreated, or recompiled.

**Tangible Research Property:** Tangible items include any items produced in or derived from the course of research such as, for example, chemicals, materials, small molecules, large molecules, biological materials, amino acids, peptides, proteins, nucleic acids, oligonucleotides, polynucleotides, DNA, probes, vectors, cells, transfected cells, antibodies, pharmaceuticals, drug delivery systems, medical devices, therapeutic apparatus, therapeutic interventions, in vitro assays, in vivo assays, data, databases, computer databases, algorithms, computer software, engineering drawings, prototypes, equipment, charts, graphs, tables, research methods, business methods, other records or information, etc. Individual items of Tangible Research Property may be associated with one or more items of Intellectual Property, such as Copyrightable Works, Inventions, Trademarks, and Trade Secrets.

**Trademark:** A distinctive word, design, or graphic symbol, or a combination of any word, design, or graphic symbol, that identifies and distinguishes the goods and services of a particular person or entity.

**Trade Secret:** Information that is not generally known to the public and confers some sort of economic benefit on its holder and derived specifically from its not being generally known rather than just from the value of the information itself. Trade Secrets must be subject to reasonable efforts to maintain secrecy.

## Objectives

The mission of the University is to advance the art and science of healthcare. In accord with this mission, the objectives of the Policy are: (1) to encourage the development of Intellectual Property for the best interest of the University, the public, and the Creator of the Intellectual Property; (2) to provide timely disclosure and protection of Intellectual Property; (3) to allow faculty, staff, and students of California Northstate University maximum academic, scientific, and professional freedom in developing Intellectual Property, consistent with any obligations of employment and sponsored research; and (4) to protect California Northstate University's interest in Intellectual Property.

## Applicability

This Policy applies to (1) all persons employed by the University; and (2) all persons and entities using the University's funds, space, facilities, materials, personnel, or other resources, including but not limited to adjunct faculty, visiting faculty and researchers, and students, except to the extent the University and such persons or entities enter into a separate written agreement relating to specific Intellectual Property and related work by such persons and entities. University employees shall not enter into intellectual property agreements related to outside employment, such as consulting or summer employment agreements, and shall not collaborate with others on the conception, research, development, production, or other creation or reduction to practice of Intellectual Property, without first providing written notice to all prospective employers and collaborators that the Intellectual Property rights of the University cannot be subordinated to a third party employment, consulting, or collaboration agreement, and without first disclosing such employment, consulting agreement, or collaboration to the University and providing copies of any related written agreements to the University.

## Copyrightable Works

**5.1 General:** Except for Institutional Works and Works Developed with Significant Use of University Resources as described in Sections 5.4 and 5.5 below, and notwithstanding the work for hire doctrine, the ownership of textbooks, manuscripts for publication in books, articles for publication in academic journals, trade publications, popular magazines or newspapers, or other mediums of expression, scholarly monographs, charts, maps, works of nonfiction, novels, artistic works, supporting materials, and like works shall be held by the Creator.

**5.2 University's Royalty-Free Use of Works:** Except for textbooks, the University shall have royalty-free use of the scholarly and artistic works described in Section 5.1 above within the University, unless agreed otherwise in writing. If the work is to be published, the Creator shall diligently request that the University be provided with a royalty-free right to use the manuscript within the University in its teaching, research, and service programs, but not for external distribution, and, if successful, the Creator shall grant such right to the University.

**5.3 Student Academic Creations:** The ownership of student works submitted in fulfillment of academic requirements shall be with the Creator. The student by enrolling in the University gives the University a nonexclusive royalty-free license to use, mark on, modify, and/or retain the work as may be required by the process of instruction, or otherwise handle the work as described in the course syllabus. The University shall not have the right to use the work in any other manner without the written consent of the Creator. Where the creation is part of any ongoing research or development project, the involved faculty or staff shall have the right to use and to modify the creation for use within that project and related research projects without additional consent of the Creator. Students working on a project governed by a written agreement to which the University is a party shall be bound by the terms of that written agreement. Students who are hired to perform specific tasks that

contribute to a Copyrightable Work will ordinarily have no rights to ownership of that work, regardless of the source of funds from which they are paid; in such cases, the party who owns the copyright of the rest of the work will ordinarily retain copyright ownership of the portion contributed by the student. Students working collaboratively with academic employees on projects that result in a Copyrightable Work may be granted the same rights and obligations of copyright ownership as would academic employees working collaboratively on the project; students and academic employees should establish these rights at the outset of their collaboration through written authorization from the academic dean or his delegated associate dean, assistant dean, department chair, or director.

**5.4 Institutional Works:** The University shall retain sole ownership of Institutional Works. Institutional Works are defined in Section 2 above and include, by way of example and not by way of limitation, (1) manuals, brochures, CDs, videos, and training programs prepared by hired staff members or by persons hired for that purpose, (2) software developed for the University, and (3) work assigned to programmers. The University owns all rights, title, and interests in such Institutional Works and the Intellectual Property related thereto, except as provided in prior written agreements between the University and Creator of such works.

**5.5 Works Developed with Significant Use of University Resources:** Copyrightable Works that are not Institutional Works but are works that are developed with significant and integral use of funds, space, facilities, materials, personnel, or other resources administered by the University, where such use was substantial and essential rather than incidental, shall be owned by the University. In addition, Copyrightable Works that are not Institutional Works but are works that are developed in the course of or resulting from research supported by a grant or contract with the federal government (or an agency thereof) or a nonprofit or for-profit nongovernmental entity, or by a private gift or grant to the University, shall be determined in accordance with the terms of the sponsored grant or contract, or in the absence of such terms and to the extent consistent with copyright law, shall be owned by University. The University recognizes and affirms the traditional academic freedom of its faculty and staff to publish scholarly, pedagogical, and artistic works without restriction. In keeping with this philosophy, the University will not construe the provision of offices or library facilities as constituting significant use of University resources, except for those instances where the resources were furnished with the specific purpose of supporting the development of such Copyrightable Works.

**5.6 Disclosure, Assignment, and Protection:** Creators of Copyrightable Works that are not owned by the University under this Policy own the copyrights in their works and are free to publish them, register the copyright, and to receive any revenues which may result therefrom. Notwithstanding the immediately preceding sentence, Creators of Copyrightable Works must nevertheless promptly disclose to the University any work of their authorship, any part of which was created during their time of employment by the University, including but not limited to any Copyrightable Works made under sponsored research or cooperative arrangements. Disclosure shall be made on a disclosure form prescribed by and available from the University. Such persons shall cooperate with the University to the best of their ability in protecting Intellectual Property rights in their works of authorship. Furthermore, upon request by the University to perfect Intellectual Property

rights, such persons shall (1) warrant that, to the best of their knowledge, the work does not infringe upon any existing copyright or other legal rights, that work not identified as quotation is the expression or creation of the author, and that necessary permission for quotation and the use of third party works has been obtained; and (2) execute such documents and perform such other things as the University may reasonably require to perfect the University's rights in such works. Notwithstanding the foregoing, the University will process federal registration for University owned Copyrightable Works when the University concludes that such University owned Copyrightable Works should be licensed for commercial exploitation or when registration is required under terms of a sponsored agreement.

**5.7 Software:** All software is copyrighted, may be federally registered as such, and may also be patentable. Rights to Software developed by a Creator shall vest in the University, when there was any support of the Creator's efforts through use of funds, space, facilities, materials, personnel, trade secret information, or other resources administered by the University. A grant or contract between a sponsor and the University usually contains specific provisions with respect to the disposition of rights to Software, and such prior contractual obligations may define the disposition of Software developed during the project; in the absence of any such provisions, rights to Software developed by a Creator shall vest in the University. In those cases in which Software ownership rights are vested in the University, or in cases in which income is shared between the sponsor and the University, the Creator will share in income earned by the University as set forth in Section 8. In recent years, the United States Patent and Trademark Office has determined that software which meets certain technical and legal criteria may be patentable. In the case that Software originally disclosed as a Copyrightable Work subsequently is determined to be patentable subject matter, and the University chooses to seek patent protection for the Software, then such Software shall thereafter be managed under this Policy as an Invention.

## **Inventions and Patents**

**6.1 General:** All Inventions conceived, researched, developed, produced, or otherwise created or reduced to practice, that result from an individual's employment responsibilities or that result from support from funds, space, facilities, materials, personnel, trade secrets, or other resources administered by the University shall belong to the University and the inventor shall assign all rights in the Invention to the University. For purposes of this Policy, researching an Invention includes all scholarly research conducted in the course of the Creator's University employment, including but not limited to performance of research sponsored by the University or by an external agency/corporation or with University funds, space, facilities, materials, personnel, trade secrets, or resources. The University shall have the sole right to determine the disposition of such Inventions. In making such a determination, the University will act in a manner, which in the sole judgment and discretion of the University, is in the best interests of the University, the Creator, the Invention's research sponsors, and the public.

**6.2 Sponsor Supported Efforts:** Ownership of an Invention developed in the course of or resulting from research supported by a grant or contract with the federal government (or an agency

thereof) or a nonprofit or for-profit nongovernmental entity, shall be determined in accordance with the terms of the sponsored grant or contract, or in the absence of such terms, shall be owned by the University. In the case of government supported research, the Bayh-Dole Act and subsequent amendments and federal regulations provide the basis for current University technology transfer practices. Accordingly, while the University is assigned the rights to Intellectual Property generated during the course of federally-sponsored research activities, the government retains the option to claim ownership under certain circumstances. In the event that the government does not exercise its option (the usual circumstance) and regardless of ownership, the government retains a non-exclusive, non-transferable, irrevocable, royalty-free, worldwide license to the Intellectual Property produced under government sponsorship. In those cases in which all patent rights are vested in the University, or in cases in which income is shared between the sponsor and the University, the Creator will share in income according to the allocation formula set forth herein in Section 8.

**6.3 Institutional Works:** The Creator of Institutional Works shall exercise no rights in such works and shall receive no proceeds from the licensing, sale, assignment, or use of such works, except as provided by prior written agreement between the Creator and University.

**6.4 Tangible Research Property:** To the extent allowed by law, where any Tangible Research Property is not within the scope of the claims of a patent, patent application, or copyright, ownership of such Tangible Research Property shall be determined as set forth herein, and the Creator of such Tangible Research Property will share in income according to the allocation schedule set forth in Section 8.

**6.5 Individual Efforts:** An Invention unrelated to an individual's employment responsibilities that is developed on his or her own time without University support or use of funds, space, facilities, materials, personnel, or other resources administered by the University is not owned by the University. In such cases the University will make no claim for royalties or income from the Invention.

**6.6 Disclosure and Assignment:** All persons subject to this Policy shall promptly disclose to the University any Invention conceived by them, as well as any part of which that was conceived, researched, developed, produced, or otherwise created or reduced to practice during their time of employment by the University. The only disclosure of any invention shall be made on a disclosure form prescribed by and available from the University, unless otherwise authorized by the University in writing in order to preserve worldwide rights to any such invention. All persons subject to this policy recognize that unauthorized disclosures can create an irreversible loss of rights and revenue and, thus, shall use their best efforts to cooperate with the University to protect all Intellectual Property rights in the Invention, as well as any rights otherwise associated with the invention. All Creators shall execute appropriate assignments and/or other documents as necessary to legalize and enable the proper distribution of ownership and rights to any Invention as set forth herein throughout this Policy.

**6.7 University Decisions on Disclosed Inventions:** A Patent Committee, appointed by the President and whose membership will represent both faculty and administration, will make recommendations on whether to seek intellectual property protection on disclosed Inventions. This

Committee will use commercially reasonable efforts for prompt decisions, consistent with faculty publication and other obligations. The Committee will establish procedures which allow the University to meet time contingencies through the use of provisional applications and other appropriate measures. This Policy recognizes, however, that invention evaluation procedures can be complicated by a wide variety of factors. The Committee will keep the Creator reasonably informed of the status of the disclosure and shall make recommendations to the University's Board of Directors regarding the appropriate measures to take in regard to protecting the Invention. The Board of Directors' decision will be the final decision on this matter and shall be completed within 9 months after the disclosure is submitted to the University. Should the Board of Directors decide not to pursue patent protection, upon request the University will assign to the Creator the rights to the Invention, subject only to sponsor restrictions. In all cases in which the Invention is assigned to the Creator, the University will retain the rights to a non-exclusive, non-transferable, irrevocable, royalty-free, worldwide license to the Invention for its teaching, research, and service programs.

### **Trademarks**

Trademarks associate a good or a service with the source of the good or service. In most situations, a Trademark identifies an item of Intellectual Property, such as a computer program or a plant variety. In other situations, a Trademark may identify an educational, training, research, service, or public relations program of the University. Regardless, the University owns all rights, title and interests in Trademarks related to an item of Intellectual Property owned by the University such as, for example, a program of education, training, research, service, or public relations of the University. All income from the licensing of a Trademark shall belong to the University.

### **Distribution of Revenue**

**8.1 Schedule of Distribution:** Except as otherwise provided in this Policy, any revenue received by the University generated through University owned Intellectual Property will be distributed in a manner that recognizes the efforts and contributions of the Creator and as set forth by this Policy. The University will maintain a detailed accounting for all expenditures and receipts associated with the Intellectual Property and will manage the distribution of the revenue ("the annual gross income") as follows:

- (a) 100% of the annual gross income shall go to the University until the University's Costs of Development have been recovered. The "Costs of Development" include costs associated with legal services, and other expenses that include the costs of materials, equipment (an allocated percentage of total cost based on total expected use), and staffing that were incurred during the development of the Intellectual Property.
- (b) after Costs of Development have been recovered, 20% of the annual gross income shall go to the University to ensure a sufficient reserve to pay for ongoing "Costs of Commercialization," such as legal services, government maintenance fees for the

Intellectual Property, and other commercialization efforts that include marketing expenses and insurance and exclude internal technology transfer staff time;

(c) the remaining 80% of the annual gross income shall be defined as annual Net Revenue and distributed annually, paid in its entirety in a single annual payment or structured over the annual period, according to the following tiered distribution system based on total Net Revenue accumulated from year to year by adding all of the annual Net Revenue amounts together:

<u>Total Net Revenue Accumulated From Year To Year</u>	<u>Proportion Of Distribution</u>
First Tier: First \$0 - \$100,000.00	50% to Creator 50% to University
Second Tier: After first \$100,000.00 is distributed in First Tier, next \$150,000.00	25% to Creator 75% to University
Third Tier: After first \$250,000.00 is distributed in First and Second Tiers, next \$250,000.00	15% to Creator 85% to University
Fourth Tier: After first \$500,000.00 is distributed in First, Second, and Third Tiers, the remaining amount	10% to Creator 90% to University;

(d) in the event the University takes equity in a company that is not founded by the Creator, the distribution of the equity will be 25% to the Creator and 75% to the University, and the distribution of shares to the Creator will occur at the same time and at the same share price of the initial distribution of equity to the University; and,

(e) in the event the University elects not to commercialize an Intellectual Property and allows the Creator to commercialize the Intellectual Property, the distribution of revenue will be 75% to the Creator and 25% to the University where the Creator assumes the costs of procuring Intellectual Property and Costs of Commercialization.

**8.2 Distribution for Multiple Creators:** Multiple Creators may enter into an agreement that reflects an agreed-upon percent contribution of each of the individual Creators to the as-filed application for rights to the Intellectual Property. The lead Creator shall (i) obtain an agreement signed by each Creator and identifying the percent contribution of each Creator to the as-filed application, and (ii) submit the agreement to the University. The agreed-upon percent contribution of each Creator will be used as the revenue distribution formula. If such an agreement is not submitted to the University within ninety (90) days of the filing date of the Intellectual Property application, the University will determine the revenue distribution formula.

**8.3 Right to Change Distribution:** The University reserves the right to change the distribution of revenue annually and agrees to provide timely notice of any such change to all persons employed by the University including its faculty, staff, students; and, all persons and entities using the University's funds, space, facilities, materials, personnel, or other resources.

#### **Dispute Resolution**

If there is a dispute relating to any matter addressed by this Policy, those persons to whom the Policy applies as described in Section 4 above shall present the dispute to the University's Board of Directors for the Board of Directors' consideration before taking any legal action through the courts or any governmental administrative body.

#### **California Law**

This Policy shall be interpreted according to California Law, including but not limited to the provisions of the Labor Code (including, but not by way of limitation, Sections 2860, 2870, 2871, and 2872 thereof) relating to ownership of Inventions, except as otherwise provided in this Policy. Any and all Inventions that relate to the employer's business, research, or development shall be governed by the provisions of this Policy.

#### **Not Assignable**

Those persons to whom this Policy applies as described in Section 4 above may not assign or delegate any of their rights, duties, or obligations as set forth in this Policy without the prior written consent of the University's Board of Directors.

#### **Severability**

If a court or arbitrator of competent jurisdiction holds any provision of this Policy to be illegal, invalid, or unenforceable, in whole or in part for any reason, the validity and enforceability of the remaining provisions will not be affected, unless an essential purpose of this Policy would be defeated by the loss of the illegal, invalid, or unenforceable provision.

#### **Agreement of the Parties**

This Policy is binding on the (1) all persons employed by the University; and (2) all persons and entities using the University's funds, space, facilities, materials, personnel, or other resources. Such persons include, but are not limited to, adjunct faculty, visiting faculty and researchers, and students as a condition for their association with the University. Such association can include, but is not limited to, teaching, research, and service programs, as well as use of University resources. Furthermore, to avoid any potential for a conflict of interest, members of the University may not enter into an employment, consulting, or collaborative agreement that is in conflict with the policies described herein. Affirmative written notice must be provided to any outside prospective employer or collaborator that the Intellectual Property rights of the University cannot be subordinated to any third party employment,

consulting, or collaborative agreement. All persons bound by this Policy must first disclose such employment, consulting agreement, or collaboration to the University and provide copies of any related written agreements to the University before accepting the terms of any such agreement.

**STATEMENT OF AGREEMENT:**

1. I agree to abide by the terms, conditions, and procedures set forth in this Policy.
2. I will not enter into any agreement creating Intellectual Property, patent, copyright, trademark, or trade secret interests or obligations that is in conflict with this Policy.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Department

\_\_\_\_\_  
Name (please print)

\_\_\_\_\_  
Date

## 6.3 Appendix C

# POLICIES, PROCEDURES AND CRITERIA FOR FACULTY RANK AND PROMOTION



**Office of Faculty Affairs**

Approved by the Dean of College of Medicine	10/09/2018
Approved CNUCOM Rank and Promotion Committee	10/15/2018
Approved CNU Senate	10/22/2018
Approved by Presidents Executive Committee	10/29/2018
Office of Responsibility	Office of Faculty Affairs

## Table of Contents

<b>Article I. : INTRODUCTION.....</b>	<b>30</b>
<b>Article II. : CHANGES FROM THE PREVIOUS EDITION .....</b>	<b>30</b>
<b>Article III. : RANK AND PROMOTIONS COMMITTEE .....</b>	<b>30</b>
<b>Article IV. : FACULTY SERIES, SCHOLARLY AND SERVICE ACTIVITY DEFINITION .....</b>	<b>31</b>
Section 4.01 FACULTY SERIES .....	31
1. Academic Faculty .....	31
2. Community-based Clinical Faculty .....	31
3. Emeritus Faculty.....	31
Section 4.02 DEFINITION OF SCHOLARLY ACTIVITY.....	31
TABLE 1: SCHOLARLY ACTIVITY.....	31
Section 4.03 DEFINITION OF SERVICE ACTIVITY .....	32
TABLE 2: SERVICE ACTIVITY.....	32
<b>Article V. : APPOINTMENT AND PROMOTION CRITERIA.....</b>	<b>33</b>
Section 5.01 APPOINTMENT CRITERIA FOR FACULTY.....	33
Section 5.02 ACADEMIC FACULTY SERIES:.....	33
Section 5.02.1 APPOINTMENT AND PROMOTION RANKING .....	33
(a) Instructor .....	33
(b) Assistant Professor .....	33
(c) Associate Professor .....	33
(d) Professor.....	34
Section 5.03 COMMUNITY-BASED CLINICAL FACULTY .....	34
Section 5.03.1 APPOINTMENT AND PROMOTION RANKING .....	34
(a) Clinical Instructor .....	34
(b) Assistant Clinical Professor .....	35
(c) Associate Clinical Professor.....	35
(d) Clinical Professor.....	35
<b>Article VI: RUBRICS FOR “MEETS”, “EXCEEDS”, AND “OUTSTANDING” .....</b>	<b>36</b>
Section 6.01 TEACHING .....	36
A. Meets Expectations .....	36
B. Exceeds Expectations .....	36
C. Outstanding.....	37
Section 6.02 RESEARCH/CREATIVE WORK.....	37
A. Meets Expectations .....	37
B. Exceeds Expectations .....	37
C. Outstanding.....	38
Section 6.03 SERVICE .....	38
A. Meets Expectations .....	38
B. Exceeds Expectations .....	39
C. Outstanding.....	39
Section 6.04 CLINICAL EXCELLENCE.....	39
A. Meets Expectations .....	39
B. Exceeds Expectations .....	39
C. Outstanding.....	39
<b>Article VII: PREPARATION OF THE APPOINTMENT AND PROMOTION DOSSIER.....</b>	<b>40</b>

---

Section 7.01 APPOINTMENT DOSSIER ..... 40

Section 7.02 PROMOTION DOSSIER..... 40

A. Requests for Promotion ..... 40

B. Preparation and Submission of Promotion Dossier ..... 40

C. President’s Office Review of Promotion Request ..... 41

**Article VIII: SUMMARY OF CRITERIA FOR RANK AND PROMOTION..... 43**

**Article IX: TIMELINE FOR PROMOTION PROCESS ..... 44**

**Article X: CHECKLIST FOR PROMOTION PACKET ..... 45**

**Article XI: PRESIDENT’S OFFICE REVIEW OF REQUEST OF PROMOTION..... 46**

**Article XII: College of Medicine Promotion Process Flow Diagram..... 48**

## **Article I. : INTRODUCTION**

The mission of the California Northstate University College of Medicine (CNUCOM) is to advance the art and science of medicine through education, service, scholarship and social accountability and in so doing, educate culturally diverse medical students, in accordance with the highest professional standards in the science and practice of medicine, in order to produce competent, excellent and successful physicians. The College of Medicine seeks to recruit, sustain and retain a faculty that furthers this mission.

Promotion in academic rank is a mark of recognition and distinction; therefore, just the time spent in a specific rank, without evidence of scholarly activity, does not in and by itself merit promotion to the next academic rank. This manual will outline the achievements required by faculty in the areas of scholarly activity and institutional service to achieve promotion.

## **Article II. : CHANGES FROM THE PREVIOUS EDITION**

This version of the “Policy, Procedures and Criteria for faculty rank and Promotion” manual reflects changes from the 2015 version that include:

- ✓ Updating of terminology to provide definition of Scholarly Activity (section 4.02).
- ✓ Establishing a rubric with a 3-level rating scale of achievements required for promotion to the different ranks (section 5.02 and 5.03).
- ✓ The priority assignments of components that are assessed for appointment and promotion in the “academic series” (section 5.021).
- ✓ The priority assignments of components that are assessed for appointment and promotion in the “community based clinical series” (section 5.031)
- ✓ Details of the new section on rubrics with the 3-level rating scale of achievements for teaching, research/creative work, service and clinical excellence (section 6.01-6.04).
- ✓ Updated table summarizing the initial appointment and promotion criteria (Article VIII).
- ✓ Updated table summarizing the timeline for promotion process (Article IX)
- ✓ Creation of a flow diagram to understand the College of Medicine Promotion process (Article XII)

Revisions to this Manual are made periodically by the Dean, after consultation with the Rank and Promotion Committee, Faculty Council or other faculty groups, subject to approval by the President’s Executive Committee and the President of the University.

## **Article III. : RANK AND PROMOTIONS COMMITTEE**

The Rank and Promotions Committee (RP) of the CNUCOM is responsible for reviewing all faculty appointments and requests for promotion. Faculty members are expected to develop a record of accomplishment within the core components of the academic mission that will lead to promotion to the next academic rank within a 5-year period of time. Failure to do so may jeopardize the continuing awarding of reappointment contracts. Promotion is based largely on the achievements of the candidate while an employee of the University. All recommendations from the RP Committee are submitted to the Dean. The Committee will consist of a Chair, Vice-Chair and 5 members that are at Full or Associate Professor level.

## Article IV. : FACULTY SERIES, SCHOLARLY AND SERVICE ACTIVITY DEFINITION

### **Section 4.01                      FACULTY SERIES**

Faculty appointments at CNUCOM are made in one of three categories: Academic, Community Clinical, and Emeritus. Faculty may be full-time or part-time. Appointments will be to the rank of instructor, assistant professor, associate professor or professor. California Northstate University is a non-tenure granting institution. Detailed criteria for each appointment category are available in the faculty handbook and CNUCOM Rank and Promotion Guidelines.

1. **Academic Faculty:** Members in the “Academic” category include both basic science and clinical science faculty within the College of Medicine. Academic faculty are appointed full-time or part-time with responsibilities in teaching, research/creative work, and service.
  
2. **Community-based Clinical Faculty:** Members are physicians and medical practitioners who function in clinical roles at off-campus (non-University operated) sites. They may come to campus to teach sessions during Phase A (first and second years) of the curriculum, but they are not routinely involved in on-campus instruction. Their primary responsibilities are to provide clinical education at affiliated hospitals, clinics, and other training institutions. Community- based clinical faculty must be licensed and boarded or certified to practice their profession.
  
3. **Emeritus Faculty:** The Emeritus Professor status is bestowed by the President with or without salary to retired individuals who have served CNUCOM at the rank of Professor for more than five years. Emeritus Professors are expected to have demonstrated exemplary accomplishments in areas of teaching, research, and service. Retired faculty with rank lower than Professor (i.e., a faculty rank of Assistant or Associate Professor at the time of retirement from California Northstate University) may be granted an Emeritus title by the President to recognize meritorious service to CNSU for more than five years. Benefits of Emeritus status include access to University resources (e.g. the University Library/Learning Resource Center) and maintaining a University e-mail address.

### **Section 4.02                      DEFINITION OF SCHOLARLY ACTIVITY**

Scholarly activity is a critical element of faculty activity and it incorporates the 4 components of Boyer’s definition. The table below specifies these 4 components and examples of associated activity

**TABLE 1: SCHOLARLY ACTIVITY**

SCHOLARLY ACTIVITY		
Component of scholarship	Assessment Category	Examples of Activity
Discovery= Advancing knowledge	Research	<ul style="list-style-type: none"> <li>✓ Peer review publications (case reports, case series, original research, review manuscripts</li> <li>✓ Abstract presentation (Oral and poster presentation) at local, regional, national and international scientific meetings.</li> </ul>

Integration = Synthesizing knowledge	Creative Work	<ul style="list-style-type: none"> <li>✓ Case studies or reports</li> <li>✓ Book chapters, textbooks</li> <li>✓ Development of educational aids (e.g., computer programs, videos, CDs, etc.)</li> </ul>
Application = Applying existing knowledge	Clinical Excellence	<ul style="list-style-type: none"> <li>✓ Development and implementation of evidence-based clinical care guidelines</li> <li>✓ Hospital and/or Ambulatory based quality improvement, process improvement initiatives</li> <li>✓ Engagement in life-long learning through CME activity</li> <li>✓ Maintenance of certification for the respective specialty</li> <li>✓ Establishing collaborative team-based care for improving patient outcomes</li> <li>✓ Engaging in data-driven continuous improvement</li> </ul>
Teaching = Disseminating current medical knowledge	Teaching	<ul style="list-style-type: none"> <li>✓ Teaching in classroom, outpatient clinics, inpatient wards, operating room, procedural areas.</li> <li>✓ Innovation and excellence in curriculum design and pedagogy</li> <li>✓ Student advising/mentoring for scholarly activity</li> <li>✓ Development of competency-based methods of teaching and assessment</li> <li>✓ Development of new and effective measures for student and resident assessment</li> </ul>

**Section 4.03                      DEFINITION OF SERVICE ACTIVITY**

In addition to teaching, research/creative work, and clinical excellence, the RP Committee also evaluates Service activity

**TABLE 2: SERVICE ACTIVITY**

<b>SERVICE ACTIVITY</b>	
<b>Component of Service</b>	<b>Examples</b>
Intramural Service	<ul style="list-style-type: none"> <li>✓ Academic leadership: administrative leader, course director, clerkship director, scholarly project advisor</li> <li>✓ College and University committee participation</li> <li>✓ Hospital based committee participation and leadership</li> <li>✓ Recruitment of preceptors and hospitals for student clinical rotations</li> <li>✓ Advisor for preceptors and faculty</li> </ul>
Extramural Service	<ul style="list-style-type: none"> <li>✓ Community event participation</li> <li>✓ Regional, national or international society committee participation</li> <li>✓ Participation in public health activities (regional, state, national, international)</li> <li>✓ Serving as a peer reviewer for manuscripts and grants, editorial activity, educational material</li> <li>✓ Providing CME/non-CME grand rounds to community healthcare providers, allied health professionals</li> </ul>

✓ Volunteering Clinical service through charitable organizations

## Article V. : APPOINTMENT AND PROMOTION CRITERIA

### Section 5.01 APPOINTMENT CRITERIA FOR FACULTY

Faculty rank is determined by the applicant's record within the core components of teaching, research/creative work, clinical excellence, and service.

All Appointments are based on:

1. Demonstrated professional *capabilities* (interpersonal skills, presentation skills, communication skills, evaluations, maintenance of board certification).
2. Demonstrated *passion* and *excellence* as an educator, evidenced by positive student, and faculty evaluations (peer review).
3. Demonstrated *potential for academic activity* (through evidence of self-initiative in teaching, symposium/GME/local CME attendance, administrative role, community role, publications).
4. Demonstrated institutional and community citizenship.
5. Attend all required faculty development programs each year.
6. Recognition of abilities, commitment, and achievements through awards, grants, commendations and letters of recommendation from both internal and external sources.

### Section 5.02 ACADEMIC FACULTY SERIES:

#### Section 5.02.1 APPOINTMENT AND PROMOTION RANKING

##### (a) Instructor

1. Instructors teach students in lecture or laboratory settings.
2. Instructors are required to have an appropriate degree for the teaching assignment.
3. This category applies to faculty members without significant curricular responsibility.
4. Instructors are not expected to conduct research, although this may be permissible with their Chair's approval. Instructors are, however, expected to participate in teaching and university service if they are employed full-time.
5. An Instructor may be promoted when he/she has met the academic requirements for the rank of Assistant Professor.
6. Time in previous rank: no minimum.

##### (b) Assistant Professor

1. Appointment to the rank of Assistant Professor requires possessing a terminal (doctoral) degree in his/her discipline and showing promise in areas of teaching, research/creative work, and service.
2. Assistant Professors are expected to participate in teaching, research/creative work, and contribute to university service
3. **Considerations for promotion** to the rank of *Assistant Professor* requires the candidate to "**meet expectations**" in the academic areas of teaching, research/creative work, and service. Refer to rubrics in Section III.
4. Time in previous rank: One (1) year at CNU.

##### (c) Associate Professor

1. Appointment to the rank of Associate Professor requires possessing a terminal (doctoral) degree

in his/her discipline and demonstrating a sustained and significant record of accomplishments in teaching, research/creative work, and professional service

2. **Considerations for promotion** to the rank of *Associate Professor* include the following:
  - a) The candidate must “**exceed expectations**” in the academic areas of teaching, research/creative work, and service. Refer to rubrics in Section III.
  - b) Time in previous rank: Minimum of five (5) years must be spent at the rank of Assistant Professor at CNU.

**(d) Professor**

1. The rank of Professor is the highest honor that the college can bestow upon a faculty member.
2. The rank of Professor requires possessing a terminal (doctoral) degree in his/her discipline.
3. This rank is granted only to faculty members who have distinguished themselves in their discipline at the national and/or international level.
4. **Consideration for promotion** to the rank of *Professor* includes the following:
  - a) The faculty member must have demonstrated a sustained record of “**outstanding achievements**” in teaching, research/creative work and professional service. Refer to rubrics in Section III.
  - b) Time in previous rank: Minimum of five (5) years must be spent at the rank of Associate Professor at CNU.

In the Academic series, the components assessed for appointment and promotion are prioritized as follows (1=high priority):

Assigned Priority	Criteria
1	Teaching
2	Research/Creative Work
3	Service
4	Clinical Excellence (if applicable)

**Section 5.03 COMMUNITY-BASED CLINICAL FACULTY**

**Section 5.03.1 APPOINTMENT AND PROMOTION RANKING**

Community-based physicians are primarily educators and their scholarly activity involves teaching and demonstrating application of existing knowledge through clinical excellence in their specialty. These are community physicians who are mainly clinicians so they are primarily in clinical practice so they are not expected to engage in research. To maintain CNUCOM appointment, community clinical faculty are expected engage in a minimum of 10 hours of teaching per year

**(a) Clinical Instructor**

1. The rank of Clinical Instructor does not require a doctoral degree.
2. Faculty members with the rank of Clinical Instructor may have degrees in Nursing, Physician Assistant, and other health-related professions.
3. For physicians, appointment to instructor rank requires completion of at least three years of residency training, or Board eligibility in their field (if applicable) of medical practice.
4. An Instructor may be promoted when he/she has met the academic requirements for the rank of Assistant Professor
5. Time in previous rank: no minimum

**(b) Assistant Clinical Professor**

1. Appointment to the rank of Assistant Clinical Professor requires possessing a terminal (doctoral) degree in his/her discipline, demonstrating clinical experience and showing promise in the area of teaching.
2. Research/creative work can enhance the chances of being appointed at this rank.
3. Evidence of clinical excellence will also be considered when individuals are assigned this rank during the hiring process.
4. **Consideration for promotion** to the rank of Assistant Clinical Professor includes evidence that the candidate has met the requirements for the rank of Assistant Clinical Professor which are to show promise in the areas of teaching, clinical excellence, and service. They may engage in research and creative work but it is not necessary.
5. Time in previous rank: One (1) year at CNU.

**(c) Associate Clinical Professor**

- a) Appointment to the rank of Associate Clinical Professor requires possessing a terminal (doctoral) degree in his/her discipline and demonstrating a sustained and significant record of accomplishments in teaching, clinical excellence and service.
- b) Research and creative work can enhance the chances of being appointed at this rank.
- c) **Consideration for promotion** to the rank of **Associate Clinical Professor** includes evidence of a sustained record of “**exceeds expectations**” in teaching and either in clinical excellence or service.
- d) Time in previous rank: Minimum of five (5) years must be spent at the rank of Assistant Professor at CNU.

**(d) Clinical Professor**

- a) Appointment to the rank of Clinical Professor requires possessing a terminal (doctoral) degree in his/her discipline, and demonstration of a continued, sustained, and significant record of accomplishments in teaching, clinical excellence, and service.
- b) Research and creative work can enhance the chances of being appointed at this rank.
- c) **Consideration for promotion** to the rank of **Clinical Professor** includes evidence of a sustained record of “**outstanding achievement**” in teaching and either in clinical excellence or service.
- d) Time in previous rank: Minimum of five (5) years must be spent at the rank of Associate Professor at CNU.

In the Community-based clinical faculty series, the components assessed for appointment and promotion are prioritized as follows (1=high priority):

Assigned Priority	Criteria
1	Teaching
2	Clinical Excellence
3	Service
4	Research/Creative Work (Encouraged but not required)

## Article VI: RUBRICS FOR “MEETS”, “EXCEEDS”, AND “OUTSTANDING”

### Section 6.01 TEACHING

The School places a priority on teaching. Teaching refers to all medical instructional activity (Undergraduate, Graduate, or Continuing Medical Education) within CNUCOM, and within the local, regional, national or international medical community. Clinical teaching and supervision is highly valued and recognized for its essential contribution to the education and training of healthcare professionals. Different types of teaching assessment, from quantitative to qualitative evaluations are included to ensure that the review committee is best able to assess the faculty’s teaching record.

#### A. Meets Expectations

A faculty member is recognized as “**Meets Expectations**” if they meet 2 of the following (must include #1) achievements during their current term of appointment.

1. Average learner and peer evaluations of 3.70 or greater on a 5-point Likert scale where higher numbers are associated with better performance (with allowance made for equivalent performance if the scale is different) with favorable letters from course, clerkship.
2. Documentation of participation in teaching related faculty development activities as a learner
3. Participation in curriculum development
4. Clinicians whose teaching is primarily in the form of patient care may provide alternate forms of evidence that may be unique to their environment and field. This should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice.
5. Student advising/mentoring for scholarly activity

#### B. Exceeds Expectations

A faculty member is recognized as “**Exceeds Expectations**” in teaching if they meet 3 of the following items (#1-6 and must include #1) during their current term of appointment and any 2 items from #7:

1. Average learner and peer evaluations of 4.1 or greater on 5-point scale when higher numbers are associated with better performance (with allowance made for equivalent performance if the scale is different)
2. Documentation of participation and leadership in curricular development and integration, and in teaching related faculty development activities
3. Evidence of active learning in the classroom through interactive teaching and in-class assessment
4. Clinicians whose teaching is primarily in the form of patient care may provide alternate forms of evidence that may be unique to their environment and field. This should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice
5. Preliminary evidence of national recognition for teaching and curricular accomplishments
6. Student advising/mentoring for scholarly activity
7. Any 2 of the following achievements
  - a) Peer reviewed publication on educational topics
  - b) Teaching awards from students, residents, or fellows
  - c) Peer teaching beyond CNU or CNUCOM at regional or national professional meetings (CME/workshops/symposia)
  - e) Serving as a Principle Investigator for a training grant awarded to the faculty member’s department

## C. Outstanding

A faculty member is recognized as “**Outstanding**” in teaching if they meet 4 of the following items (#1-6 and must include #1) during their current term of appointment and any 2 items from #7.

1. Average learner and peer evaluations of 4.5 or greater on 5-point Likert scale (higher numbers are associated with better performance)
2. Demonstrated application of student centered, active learning pedagogy
3. Demonstrated innovation and creativity in development and application of learning activities
4. Clinicians whose teaching is primarily in the form of patient care may provide alternate forms of evidence that may be unique to their environment and field. This should include a clear explanation of the connection between their teaching and the advancement of learners in clinical practice.
5. Demonstrated national or international recognition for their teaching and/or curricular contributions
6. Student advising/mentoring for scholarly activity
7. Any 2 of the following achievements:
  - a) Peer reviewed publication on educational topics
  - b) Teaching awards from students, residents, or fellows
  - c) Peer teaching beyond CNSU or CNUCOM at regional or national professional meetings (CME/workshops/symposia)
  - e) Serving as a Principle Investigator for a training grant awarded to the faculty member’s department

## Section 6.02 RESEARCH/CREATIVE WORK

### A. Meets Expectations

A faculty member will be considered as “**Meets Expectations**” in research/creative work if they have at least 2 of the following achievements during their current term of appointment:

1. Publications of merit and significance including peer-reviewed manuscripts or book chapters, with faculty member as senior author or principal collaborator. (It is not possible to designate a criterion of a precise number of publications since the scope and influence of the work must be weighed in each case.) In weighing merit, the following should be considered:
  - a) Publication in high impact venues or journals
  - b) Collaborative clinical or curricular publications that advance the teaching and clinical mission of CNUCOM or their community
2. Peer reviewed, published curricular materials (consideration given to effort required to develop the materials and to impact)
3. Research grants
4. Book reviews, letters to the editor, abstract presentations.

### B. Exceeds Expectations

A faculty member will be considered as **Exceeds Expectations** in research if they meet at least two, 1 out of A) and 1 out of B) categories of the following achievements in their current term of appointment.

#### A. Publications:

1. Publications of merit and significance that demonstrate a mixture of roles as collaborative team member, principal investigator and/or senior author. (It is not possible to designate a criterion of a precise number of publications since the scope and influence of the work must be weighed

in each case.) In weighing merit, the following should be considered:

- a. Publication in high impact venues or journals
  - b. Collaborative clinical or curricular publications that advance the teaching and clinical mission of the CNUCOM
  - c. Peer reviewed, published curricular materials (consideration given to effort required to develop the materials and to impact)
  - d. Research grants
  - e. Book reviews, letters to the editor, abstracts
- B. Regional, national or international recognition of scholarship evidenced by any 1 of the following:
1. Approval of a competitive grant as the Principal Investigator
  2. Editorship or editorial board membership of a refereed professional or scientific journal
  3. Regular reviewer for a recognized peer-reviewed journal
  4. Regular reviewer or appointment to a study section, for a recognized competitive grant awarding organization
  5. Appointment to a study section, task force or advisory group for NIH or other professional board
  6. Participation in a national or international task force or committee to establish clinical practice standards
  7. Multiple invited presentations at national or international scientific or professional meetings

### **C. Outstanding**

A Faculty member will be considered **Outstanding** in scholarship/research if they have at least 3 of the following achievements during their current term of appointment.

1. Publications of merit and significance that demonstrate a mixture of roles as collaborative team member, principal investigator and/or senior author. (It is not possible to designate a criterion of a precise number of publications since the scope and influence of the work must be weighed in each case.) In weighing merit, the following should be considered:
  - a. Publication in high impact venues or journals
  - b. Collaborative clinical or curricular publications that advance the teaching and clinical mission of the CNUCOM
2. Peer reviewed, published curricular materials (consideration given to effort required to develop the materials and to impact)
3. Research grants
4. Consistent mentoring of junior faculty in scholarly/research activity
5. Regional, national or international recognition of scholarship evidenced by any three (3):
6. Approval of a competitive grant as the Principal Investigator
7. Editorship of a refereed professional or scientific journal
8. Appointment to a study section, task force or advisory group for NIH or other professional board
9. Participation in a national or international task force or committee to establish clinical practice standards
10. Consistent record of presentations at national/international scientific or professional meetings

## **Section 6.03 SERVICE**

### **A. Meets Expectations**

A faculty member is recognized as “**Meets Expectations**” in service if they meet 2 of the following achievements during their current term of appointment.

1. Demonstration of a high level of effectiveness at the department level or above by carrying out assigned administrative or committee responsibilities
2. Participation in one or more local, state, regional, national or international professional

organizations

3. Demonstration of citizenship and consistent service to CNUCOM and professional organizations through effective participation on committees

### **B. Exceeds Expectations**

A faculty member is recognized as “**Exceeds Expectations**” in service if they meet 2 of the following achievements during their current term of appointment.

1. Service through an administrative or leadership role at the department level or above
2. Recognition by peers at the state, regional or national level for advisory or leadership role in professional and community educational organizations
3. State, regional, national or international recognition for excellence in some aspect of healthcare
4. Serving as a peer reviewer for manuscripts, grants, editorial activity, educational material.
5. Demonstration of citizenship and consistent service to CNUCOM through effective participation and leadership on committees.

### **C. Outstanding**

A faculty member is recognized as “**Outstanding**” in service if they meet 3 of the following achievements during their current term of appointment.

1. Service in an administrative role for multiple years at the department level or above, with supervision and oversight of junior faculty, with responsibilities for a teaching/training, clinical or scholarly activity program
2. Service to the profession in an administrative or leadership role for multiple years in a state, regional or national program with responsibilities for the oversight of a teaching/training or clinical activity program. The faculty member’s service in this area must have received state, regional or national recognition.
3. State, national or international recognition of excellence in some aspect of healthcare
4. Demonstration of citizenship and exemplary service to CNUCOM through consistent and effective leadership on committees

## **Section 6.04 CLINICAL EXCELLENCE**

### **A. Meets Expectations**

A faculty member is recognized as “**Meets Expectations**” in clinical excellence if they meet 2 of the following achievements during their current term of appointment.

1. Exemplary and well-rounded clinician
2. Practices in a collegial manner
3. Provides consistent and continuous high standard of clinical care
4. Embrace the principles of evidence-based practice

### **B. Exceeds Expectations**

A faculty member is recognized as “**Exceeds Expectations**” in service if they meet 2 of the following achievements during their current term of appointment.

1. Leadership role in the department and medical staff
2. Demonstrated leadership in the delivery of clinical service
3. Through active participation in clinical governance contributes to continuous improvement in service organization and delivery

### **C. Outstanding**

A faculty member is recognized as “**Outstanding**” in service if they meet 2 of the following achievements during their current term of appointment.

1. Major contribution to improvements to an existing clinical program(s)
2. Major contribution to the development of innovative treatments, systems of healthcare delivery, or new clinical program(s)
3. Evidence of local/regional/national recognition of excellence of clinical skills

## **Article VII: PREPARATION OF THE APPOINTMENT AND PROMOTION DOSSIER**

### **Section 7.01 APPOINTMENT DOSSIER**

For initial appointment at all levels except Instructor, and for all promotions, candidates are required to submit an electronic promotion portfolio (ePortfolio) that includes the following:

1. A summary of teaching activities and evaluation of teaching performance, including peer and student evaluations
2. Description of inter-professional or interdisciplinary teaching
3. Distribution of time between teaching, service and scholarly activity
4. A list of service activities including clinical responsibilities, service on CNUCOM and CNSU committees, participation in professional societies, relevant public and community service
5. External reviews, evaluations, awards and recognitions for teaching, professional service, public or community service, and scholarly activity
6. List and examples of scholarly works, including publications, workshops, grants, or educational materials
7. Personal statement that helps the reviewers understand the candidate's perspective, significance of achievements, and any special circumstances relevant to the candidate's record (3-page limit)

### **Section 7.02 PROMOTION DOSSIER**

#### **A. Requests for Promotion**

1. The RP committee reviews requests for promotion only once per year.
2. Requests for promotion are typically initiated by the Department Chair. The Chair's letter must be included in the promotion packet and should summarize the rationale for promotion. In rare cases, the request for promotion may be initiated by the faculty member.
3. All requests for promotion must be prepared and submitted in a standardized format as detailed in "Appendix A" of this document.
4. Names of at least three (3) individuals within the institution and three (3) individuals from outside of the institution, who are familiar with the faculty member's work, must be included in the promotion packet. The Associate Dean for Faculty Affairs will solicit letters from up to three persons in each category and insert them into the faculty member's promotion packet.
5. Promotion Packets must be submitted in two formats:
  - a) One original signed hard copy arranged according to the standardized format (see Appendix "A") is submitted to the Office of the Associate Dean for Faculty Affairs in an indexed 3-ring binder and labeled "Dean's Office Copy".
  - b) One single electronic PDF file arranged in standardized format is submitted to the Office of the Associate Dean for Faculty Affairs for use by the RP committee. Only PDF files will be accepted.

#### **B. Preparation and Submission of Promotion Dossier**

1. All requests for promotion must be submitted in the standardized format detailed in CNU website (link attached here). Incomplete applications or applications not following the

standardized format will be returned to the faculty member for correction which could delay the review process.

2. California Northstate University College of Medicine requires consistent presentation of materials for evaluation for promotion.
3. Faculty members wishing to be considered for rank promotion must submit a dossier in the format outlined.
4. Sections that are not applicable should be indicated by “N/A”.
5. Incomplete applications or applications not following the standardized format will be returned to the faculty member for correction which could delay the review process.
6. The applicant should submit a cover letter (no more than three [3] pages) highlighting the individual's accomplishments in teaching, scholarly activities, and professional service as well as other supporting information/evidence relevant to the request for promotion.
7. Below is a checklist to help you organize the content of your packet
8. Complete section VIII, listing all the Supporting Documentation Submitted in the Promotion Packet  
**Note:** Department Chair's letter summarizing the rationale for endorsement or non-endorsement will be requested by the Office of Faculty Affairs/RP Committee after the application has been submitted

### **C. President's Office Review of Promotion Request**

The Office of the President shall review the recommendation by the Dean and the Chair of the Rank and Promotion Committee and the dossier/portfolio of the faculty candidate and formulate a decision based on the following criteria categories:

1. Adherence to the Promotion Policy
2. The existence of a described quantifiable process to access the candidate's dossier/portfolio
3. A description of the strength of the evidence supporting the request for promotion
4. The integrity of the review process is maintained throughout the review process from the perspective of Human Resource
5. The individual critique by the President to reach a decision on the candidate's qualifications for promotion include the following:
  - a) Years of employment met
  - b) An understanding and acceptance of, and commitment to, the purpose and objectives of the College
  - c) Quality of performance
  - d) Quality and quantity of assignments
  - e) Evidence of cooperation, positive outlook, and maturity
  - f) Proficiency as an educator
  - g) A record of scholarly accomplishments
  - h) Evidence of ongoing professional development
  - i) Evidence of availability to individual students for advisement and willingness to share in their concerns
  - j) Evidence of involvement and participation in campus, professional, and community activities
  - k) Demonstrated competency in the professional discipline of the faculty member
  - l) Demonstrates intellectual competence, integrity, independence, enthusiasm, & a spirit of scholarly inquiry
  - m) Faculty in the clinical areas have additional responsibilities in terms of service to a clinical practice site
  - n) Teaching indicators are reviewed
  - o) Research/Creative work is reviewed (if applicable)
  - p) Clinical Excellence is reviewed

- q) Professional Service is reviewed
6. Ultimately, the Office of the President may provide one of the following actions:
- a) Grant approval for promotion
  - b) Deny request for promotion
  - c) Request further information or clarification before providing a decision

## Article VIII: SUMMARY OF CRITERIA FOR RANK AND PROMOTION

RANK	INITIAL APPOINTMENT	PROMOTION TO RANK
Instructor	<ol style="list-style-type: none"> <li>1. Certification of completion of clinical training program as relevant, AND/OR 3 year's teaching/leadership experience OR</li> <li>2. Master's degree in specialty/subspecialty or discipline as relevant, OR</li> <li>3. Doctoral degree or terminal degree in discipline or specialty AND Board certification in specialty</li> </ol>	
Assistant Professor	<ol style="list-style-type: none"> <li>1. Doctoral degree or terminal degree in discipline in specialty AND for clinicians Board eligibility in their specialty</li> <li>2. Two or more years of teaching experience</li> </ol>	<ol style="list-style-type: none"> <li>1. Minimum years of service at CNSU=5 yrs</li> <li>2. ACADEMIC FACULTY: Must <b>"meet" expectations</b> in Teaching, Scholarship and Service (see Rubrics in Section III)</li> <li>3. COMMUNITY CLINICAL FACULTY: Must <b>"meet"</b> expectations in Teaching, Clinical Excellence, and Service (See Rubrics in Section III)</li> <li>4. Terminal Degree: Doctorate</li> </ol>
Associate Professor	<ol style="list-style-type: none"> <li>1. Doctoral degree or terminal degree in discipline in specialty AND for clinicians Board eligibility in their specialty</li> <li>2. Demonstrate excellence in performance and experience as Assistant Professor</li> <li>3. There are no absolute time requirements for having previously held an appointment at the Assistant Professor level, however, typically an individual has held that rank for 5 or more years.</li> </ol>	<ol style="list-style-type: none"> <li>1. Minimum years of service at CNSU= 5 yrs</li> <li>2. ACADEMIC FACULTY: Must <b>"exceed" expectations</b> in Teaching, Scholarship and Service (see Rubrics in Section III)</li> <li>3. COMMUNITY CLINICAL FACULTY: Must <b>"exceed"</b> expectations in Teaching, Clinical Excellence, and Service (See Rubrics in Section III)</li> <li>4. Terminal Degree: Doctorate</li> </ol>
Professor	<ol style="list-style-type: none"> <li>1. Doctoral degree or terminal degree in discipline in specialty AND for clinicians Board eligibility in their specialty</li> <li>2. Ten (10) years of relevant experience</li> <li>3. There are no absolute time requirements for having previously held an appointment at the Associate Professor level, however, typically an individual has held that rank for 5 or more years.</li> </ol>	<ol style="list-style-type: none"> <li>1. Minimum years of service at CNSU=5 yrs</li> <li>2. ACADEMIC FACULTY: Must be <b>"outstanding" expectations</b> in Teaching, Scholarship and Service (see Rubrics in Section III)</li> <li>3. COMMUNITY CLINICAL FACULTY: Must be <b>"outstanding"</b> expectations in Teaching, Clinical Excellence, and Service (See Rubrics in Section III)</li> <li>4. Terminal Degree: Doctorate</li> </ol>

## Article IX: TIMELINE FOR PROMOTION PROCESS

Timeline for Promotion Process		
Four Months Before	Submission of Promotion Packet to Office of Faculty Affairs	
	Office of Faculty Affairs completes application by requesting letters from internal and external references and a letter from the Department Chair	
Two Months Before	Completed application sent to Chair of RP Committee	
March* (2nd Friday)	RP Committee meets to review applications received (*at least 2 weeks after Chair of RP Committee receives application)	
	<b>Favorable Decision by RP Committee</b>	<b>Unfavorable Decision by RP Committee</b>
March (subsequent Wednesday)	RP Committee sends letter to Dean recommending its decision	RP sends recommendation to the Dean but also sends letter of explanation to Applicant. Applicant has until 1st Friday of April to submit rebuttal to the RP
	<b>Favorable Decisions By Dean</b>	<b>Unfavorable Decision by Dean</b>
One Month Before	Dean's recommendation and candidate dossier sent to University level RP Committee. Copy of recommendation sent to RP Committee.	<ol style="list-style-type: none"> <li>1. RP Committee calls <i>ad hoc</i> meeting to review rebuttal. RP Committee sends letter to Dean recommending its decision.</li> <li>2. Dean's recommendation and candidate dossier sent to University level RP Committee. Copy of recommendation sent to RP Committee.</li> <li>3. If this decision is supported by Dean, process stops here; however, applicant can appeal to President.</li> </ol>
April (4th Friday)		<ol style="list-style-type: none"> <li>1. Applicant has 2 weeks from receipt of notification (but no later than the indicated date) to respond with rebuttal to Dean (cc RP Committee):</li> <li>2. If Dean accepts (continue with Box 2)</li> <li>3. If Dean does not accept, Dean provides explanation to both Applicant and RP</li> <li>4. (RP determines if appeal is in order and advises applicant accordingly)</li> </ol>
Four Months before Scheduled Board of	President presents recommendation at next scheduled BOT Meeting	

Trustees Meeting			
Within 2 weeks from BOT meeting	President's Office notifies Dean and copies Office of Faculty Affairs and Chair of RP Committee of final decision		

## Article X: CHECKLIST FOR PROMOTION PACKET

- Applicant's cover letter
- Completed Faculty Promotion Request Form
- Personal History Summary
- Names and Contact Information of at least 3 individuals from within CNU
- Names and Contact Information of at least 3 individuals from outside of CNU
- Documentation of Contributions to Teaching
- Documentation of Scholarship and Excellence in Research
- Documentation of Service Contributions
- Reprints (3 representative publications)
- Manuscripts (in press or submitted)
- Published abstracts (last 12 months)
- Other relevant material

## Article XI: PRESIDENT’S OFFICE REVIEW OF REQUEST OF PROMOTION

Candidate: \_\_\_\_\_

Criteria	Met/ Not Met	Comment
1. Years of employment met		
2. An understanding and acceptance of, and commitment to, the purpose and objectives of the College		
3. Quality of performance		
4. Quality and quantity of assignments		
5. Evidence of cooperation, positive outlook, and maturity		
6. Proficiency as an educator		
7. A record of scholarly accomplishments		
8. Evidence of ongoing professional development		
9. Evidence of availability to individual students for advisement and willingness to share in their concerns		
10. Evidence of involvement and participation in campus, professional, and community activities		
11. Demonstrated competency in the professional discipline of the faculty member		
12. Demonstrates intellectual competence, integrity, independence, enthusiasm, and a spirit of scholarly inquiry		
13. Faculty in the clinical areas have additional responsibilities in terms of service to a clinical practice site		
14. Appendix A-A: Teaching indicators are reviewed		
15. Appendix A-B: Scholarly/Research Activity are reviewed		
16. Appendix A-C: Professional Service are reviewed		

Narrative decision: \_\_\_\_\_

\_\_\_\_\_



---

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

President of the University

# Article XII: College of Medicine Promotion Process Flow Diagram

