GOVERNANCE, APPOINTMENT AND PROMOTION HANDBOOK

July 2016
Harvard Medical School and Harvard School of Dental Medicine
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This handbook does not constitute a contract of employment nor a promise of any kind. HMS/HSDM reserves the right to change the policies and procedures in this Handbook unilaterally and without notice. HMS/HSDM also reserves the right to determine the applicability of any policy to a given situation and to depart from the guidelines contained herein in a given case.

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For questions, please contact the Office for Faculty Affairs at ofa@hms.harvard.edu or 617-432-1540.

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“To create and nurture a diverse community of the best people committed to leadership in alleviating human suffering caused by disease.”

MISSION STATEMENT, HARVARD MEDICAL SCHOOL

“To develop and foster a community of global leaders dedicated to improving human health by integrating dentistry and medicine at the forefront of education, research and patient care.”

MISSION STATEMENT, HARVARD SCHOOL OF DENTAL MEDICINE
1. **General Information and Contacts**  
   As of July 2016

1.1 **About Harvard Medical School (HMS)**

Harvard Medical School was established in 1782 in Harvard Hall on the Cambridge Campus.

**Harvard Hall**  
First site of Harvard Medical School, October 7, 1783

Faculty members have been making paradigm-shifting discoveries and achieving “firsts” in medicine and science since 1800, when HMS Professor Benjamin Waterhouse introduced the small pox vaccine to the United States. Their accomplishments are recognized internationally and fifteen researchers have shared in nine Nobel prizes for work completed while at the School.

The Faculty of Medicine includes more than 11,000 individuals working to advance the boundaries of knowledge in labs, classrooms and clinics. The school’s main quadrangle in Boston houses classrooms where medical, dental and graduate students begin their training as well as the laboratories of tenured and tenure-track faculty members in Basic and Social Science departments, referred to as the “preclinical” or “quad” departments.
Links below connect to the Basic and Social Science departments that reside on the quadrangle, with the exception of Stem Cell and Regenerative Biology, which is a joint Department of the Faculty of Medicine and the Faculty of Arts and Sciences and is based on the Cambridge campus:

- Biological Chemistry and Molecular Pharmacology
- Biomedical Informatics
- Cell Biology
- Genetics
- Global Health and Social Medicine
- Health Care Policy
- Microbiology and Immunobiology
- Neurobiology
- Stem Cell and Regenerative Biology
- Systems Biology

Teaching and research extend beyond the Quad. Harvard Medical School has affiliation agreements with 16 of the world’s most prestigious hospitals and research institutes http://hms.harvard.edu/about-hms/hms-affiliates, vital partners that provide clinical care and training. They also serve as home base for more than 11,000 physicians and scientists with faculty appointments. There are 56 “clinical” or “hospital-based” departments located in HMS affiliated institutions that are responsible for the clinical training of medical students.

For additional information about HMS, its academic programs, affiliated institutions and more, please visit the HMS website at: http://hms.harvard.edu/about-hms and http://www.fa.hms.harvard.edu.

1.2. About Harvard School of Dental Medicine (HSDM)

One of the premier schools of dental medicine in the world, Harvard School of Dental Medicine (HSDM) also has core strength in musculoskeletal-disease research and offers students public health opportunities in local communities and across the globe. HSDM is the only school at Harvard that offers direct patient care, with the Harvard Dental Center welcoming more than 25,000 patients for over 57,000 dental visits every year. In a unique educational model, HSDM students study clinical medicine with Harvard medical students and then pursue additional years of intensive, interdisciplinary clinical science education at HSDM and affiliated sites. HSDM alumni are making their mark in prevention, discovery, and practice as they work to improve the health and well-being of local and global populations.

For additional information about HSDM, its academic programs, affiliated institutions and more, please visit the HSDM website at: http://hsdm.harvard.edu.

1.3. Deans, Key Administrative Offices and Organizational Chart

For information about the Faculty of Medicine Deans’ offices, please visit: http://hms.harvard.edu/content/offices-Deans and http://hsdm.harvard.edu/administrative-offices.
Governance, Appointment and Promotion Handbook

Organizational Chart
effective July 2016

Dean of the Faculty of Medicine

Chief of Staff

Dean of the Faculty of Medicine

 Dean, External Education
   - Assoc. Dean, Global & Continuing Ed
   - Editor in Chief, Harvard Health Pubs
   - Exec. Director, External Education
   - Faculty Director, Online Learning

 Council of Academic Deans
   - Faculty Dean, Acad. Programs Children’s
   - Faculty Dean, Acad. Programs BIDMC
   - Faculty Dean, Acad. Programs DFCI
   - Faculty Deans, Acad. Programs Partners

 Exec. Dean, Administration
   - Assoc. Dean, Comm. & External Affairs
   - CFO
   - Assoc. Dean, Inst. Planning & Policy
   - Chief Info. Officer
   - Assoc. Dean, Campus Planning & Facilities
   - Chief HR Officer
   - Chief Research Operations

 Dean, Basic Science & Grad Education
   - Director, MD/PhD Program
   - Vice Chair, Div Med Sciences
   - Assoc. Dean, Basic & Inter Research
   - Assoc. Dean, Planning & Admin, Basic Sci & Grad Ed

 Dean, Academic & Clinical Affairs
   - Dean, Faculty Affairs
   - Dean, Diversity & Community Partnership
   - Assoc. Dean, Academic & Clinical Affairs
   - Assoc. Dean, Planning & Admin, Basic Sci & Grad Ed

 Dean, Academic & Clinical Affairs
   - Dean, Fac. & Research Integ.
   - Assoc. Dean, Clin. & Trans. Research

 Dean, Clinical & Translational Research
   - Exec. Director, Clin. & Trans. Research
   - Assoc. Deans, Clin. & Trans. Research

 Dean, Medical Education
   - Dean, Curriculum
   - Dean, Students
   - Assoc. Dean, Academic Programs, PME
   - Director, Academy
   - Faculty Assoc. Dean, Admissions
   - Faculty Assoc. Dean, Recruit. Multicult. Affrs.

 Interim Dean, Resource Development
   - Cell Biology
   - Health Care Policy
   - Neurobiology
   - Global Health & Social Medicine
   - Biomedical Informations
   - BCMP
   - Genetics
   - Microbiology & Immunobiology
   - Systems Biology
   - SCRB

 Preclinical Chairs

 Faculty of Medicine 7
1.4. Other Harvard Resources

Faculty Development Offices

- Beth Israel Deaconess Medical Center: Office for Academic Careers and Faculty Development (AFCD)
- Boston Children’s Hospital: Office of Faculty Development
- Brigham and Women’s Hospital: Center for Faculty Development & Diversity (CFDD)
- Cambridge Health Alliance: Center for Professional Development (CPD)
- Dana-Farber Cancer Institute: Office for Faculty Development (OFD)
- Massachusetts General Hospital: Center for Faculty Development (CFD)
- McLean Hospital: Office for the Chief Academic Officer

Harvard University

- Faculty Club
- Faculty Real Estate Services
- Harvard International Scholars Office (HIO)
- Harvard University
- ID office
- Office of the Provost
- Office of the Senior Vice Provost: Faculty Development and Diversity
- Outings & Innings

Harvard Medical School

- Archives for Women in Medicine
- Center for the History of Medicine
- Diversity Inclusion and Community Partnership (OCDP)
- Francis A. Countway Library of Medicine
- Harvard Catalyst
- Joint Committee on the Status of Women (JCSW)
- Medical Academic and Scientific Community Organization (MASCO)
- Office for Work/Life
- Ombuds Office
- The Academy at Harvard Medical School
- Vanderbilt Hall Athletic Facility

Additional Resources for Section 1: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
2. **Bylaws, School Governance, Standing Committees**  
   As of July 2016

**Bylaws Creation and Amendment**  
In Academic Year 2012, this document was compiled from existing Harvard University bylaws and Harvard Medical School, Harvard School of Dental Medicine and Harvard University policies that addressed individual components of our governance. After review by the Harvard University Office of General Counsel it was approved by the Dean of the Faculty of Medicine and was ratified unanimously by the Faculty Council on November 7, 2012. This document is subject to amendment by the Dean of the Faculty of Medicine after consultation with the Office of General Counsel and upon the vote of the Faculty Council. Faculty Council amended the document on May 11, 2016.

**PREAMBLE**  
From its founding in 1782, Harvard Medical School has been part of Harvard University. The Faculty of Medicine, which includes both Harvard Medical School and the Harvard School of Dental Medicine, is now one of nine faculties of the University. The Faculty of Medicine operates under the direct responsibility of the Dean of the Faculty of Medicine, who is appointed by the President of the University subject to the approval of the Joint Committee on Appointments of the University’s two governing boards. Like other major academic units of Harvard, the Faculty of Medicine is subject to the statutes of the University and a range of other University-wide policies. While the Faculty of Medicine has long operated in accordance with such statutes and policies, as well as policies specific to the Faculty of Medicine, this document sets forth a fuller statement of its operating structure as part of Harvard University.

**HARVARD UNIVERSITY**  
Harvard University was founded in 1636. Its principal academic units include nine faculties as well as the Radcliffe Institute for Advanced Study. The Faculty of Arts and Sciences (FAS) is the only faculty that offers undergraduate as well as graduate degrees. The FAS includes both Harvard College and the Graduate School of Arts and Sciences; in addition, the School of Engineering and Applied Sciences is affiliated with the FAS. Harvard has eight other faculties, each with its own Dean: Business Administration, Design, Divinity, Education, Government, Law, Medicine, and Public Health. The Faculty of Medicine includes both Harvard Medical School and the School of Dental Medicine. The University’s faculties each have a considerable degree of autonomy in administering their affairs, subject to the authority and supervision of the central administration and the University’s governing boards.
The Governing Boards
The University has two governing boards. The President and Fellows of Harvard College, often called the Harvard Corporation, is the University’s principal fiduciary governing board. The Corporation exercises fiduciary responsibility with regard to the University’s academic, financial, and physical resources and overall well-being. It consists of the President, the Treasurer, and other members known as Fellows. The Corporation engages with questions of long-range strategy, policy, and planning as well as transactional matters of unusual consequence. It serves as a confidential sounding board for the President on matters of importance; meets with Deans, vice presidents, and others from time to time to discuss a wide array of programs and plans; and is responsible for approving the University’s budgets, major capital projects, endowment spending, tuition charges, and other matters.

The Board of Overseers is the larger of the two boards, comprising thirty members elected by Harvard degree holders, as well as the President and the Treasurer of the University, who serve ex officio. The Board exerts broad influence over the University’s strategic directions, provides counsel to the University leadership on priorities and plans, and has the power of consent to certain actions of the Corporation.

Among the Board’s chief functions is the superintendence of the visitation process, the principal mechanism for periodic external review of the quality and direction of the University’s schools, departments, and selected other programs and activities. The Board carries out this responsibility largely through the operation of more than fifty visiting committees, whose work is overseen by and reported to the Board. The visiting committees include outside scholars and practitioners knowledgeable about the relevant fields. They are expected to provide independent assessments of the work of the visited unit and to make recommendations on its future development.

The Corporation and the Board of Overseers both maintain several standing committees of their own. In addition, the two boards maintain joint committees on inspection (audit), appointments, and alumni affairs and development.

The President and Provost
The President is the University’s chief executive and academic officer, charged by the University statutes with exercising “a general superintendency over all the University’s concerns.” The President is the Corporation’s presiding officer, serves as an ex officio member of the Board of Overseers, chairs the Council of Deans, and is a member of each of the University’s faculties. The Provost is the University’s chief academic officer other than the President. The Provost shares responsibility with the President for central oversight of the University’s academic affairs, with particular emphasis on academic planning, on fostering collaboration among the University’s schools and other units, and on policies, practices, and initiatives that involve multiple parts of the University.

Council of Deans
The Council of Deans is composed of the University’s President and Provost, the Deans of the several faculties, and selected others. Chaired by the President, it meets regularly to consider matters of University-wide academic and administrative strategy and policy and to advance cooperative approaches among the University’s different schools and the central administration.

HARVARD FACULTY OF MEDICINE
The Harvard Faculty of Medicine includes both Harvard Medical School and the Harvard School of Dental Medicine faculty. The faculty are organized into eight basic science departments, two social science departments, 18 clinical departments and five departments based at the Harvard School of Dental Medicine. Most faculty members are not Harvard employees nor are based in Harvard facilities but instead are located at 16 affiliated hospitals and research institutions.
Responsibilities of the Faculty of Medicine
Subject to the overall governance of the University, instruction, academic policies, required courses of study, and the granting of degrees at Harvard Medical School and the Harvard School of Dental Medicine are primarily the responsibility of the Faculty of Medicine. Appointment to the faculty entails responsibility in diverse areas of teaching, research, clinical care, and academic administration. Voting members of the faculty are expected to attend scheduled faculty meetings if possible and to participate in the selection of members of the Faculty Council. The voting members of the Faculty of Medicine include Professors, Associate Professors, Assistant Professors, among others. In addition to their teaching, research, and clinical care responsibilities, members of the faculty participate in faculty meetings and serve on school-wide standing committees and additional committees formed for faculty searches and reviews or special assignments. From time to time, members of the faculty may also be asked to serve on University committees. Three meetings of the voting faculty take place each year.

Dean of the Faculty of Medicine
The Dean of the Faculty of Medicine is appointed by the President, subject to the consent of the Joint Committee on Appointments, and serves at the discretion of the President. The Dean is responsible to the President for the overall operations of the Faculty of Medicine at both Harvard Medical School and the Harvard School of Dental Medicine and their academic programs. The Dean is charged with the overall management of the Medical School, including appointments of administrative staff as deemed necessary for achieving the mission of the School.

The Dean, with the advice of the Committee on Promotions, Reappointments and Appointments, recommends to the President faculty appointments to the ranks of Associate Professor and below and, with the advice of the Subcommittee of Professors, recommends to the President faculty appointments to the rank of Professor.

The Dean appoints the chairs of the various academic Departments of the Medical School and, with the advice of the Dean of the Dental School, appoints the chairs of the various academic departments of the School of Dental Medicine. All department chairs report to and serve at the discretion of the Dean of the Faculty of Medicine in their academic leadership capacities.

The Dean may appoint one or more Deans, Associate Deans, and Assistant Deans as deemed necessary and appropriate to carry out the mission and operations of the Faculty of Medicine; these Deans report to and serve at the discretion of the Dean.

The areas for which the Dean has primary oversight responsibility, within the overall governance framework of the University, and which one or more Deans, Associate Deans, or Assistant Deans may be appointed from time to time to direct, include:

Education and Students
The administration of all aspects of the academic programs of the Faculty of Medicine and the direction of the programs and activities of the Faculty of Medicine that assure compliance with the curriculum adopted by the Faculty from time to time and the requirements of accrediting and regulatory agencies,

Faculty
The administration of policies affecting the faculty and their appointments and the promotion of the professional development of the faculty,

Research
The administration of the Faculty of Medicine’s research program and the direction of the programs and activities that assure compliance with School, University, and applicable federal, state, and local regulatory requirements regarding research,
Finance and Administration
The direction of all matters relating to the finance and budget of the School of Medicine, the management of its human resources, and the supplying and operation of its facilities.

The Dean of the Faculty of Medicine has overall responsibility for ensuring that the mission of the Faculty of Medicine and the values of integrity, diversity, and professionalism are reflected in all aspects of operations and activities.

Dean of the Harvard School of Dental Medicine
The Dean of the School of Dental Medicine is appointed by the President on the recommendation of the Dean of the Faculty of Medicine and subject to the approval of the Joint Committee on Appointments. The Dean of the School of Dental Medicine is responsible to the Dean of the Faculty of Medicine (and the Dean of the Faculty of Medicine to the President and Corporation) for overall management of the School of Dental Medicine and its academic programs, including appointments of administrative staff as deemed necessary to the operation of the School of Dental Medicine. Faculty within the School of Dental Medicine are members of the Faculty of Medicine and are subject to the policies and requirements of the Faculty of Medicine.

Visiting Committee
The University’s Board of Overseers appoints and maintains a Committee to Visit Harvard Medical School and the Harvard School of Dental Medicine. The committee, which, typically, meets every other year and reports in writing on its work, includes distinguished academics and practitioners in medicine, dentistry, and related fields. The committee is expected to assess the work of the Faculty of Medicine and to offer constructive advice on its future direction and development.

Faculty Council
The Faculty Council is a representative organization consisting of elected members of the voting faculty who serve three-year terms. The electoral structure is designed to assure proportional representation across disciplines and institutions. The Dean of the Faculty of Medicine chairs the monthly meetings of the Council. The Vice-Chair of the Council is elected by the members of the Council and serves as the Chair of the Council Docket Committee.

The Faculty Council advises the Dean in the formulation of major changes to policy and innovations for the Schools of Medicine and Dental Medicine. The Council submits recommendations for consideration to the Dean on major policy issues. The Faculty Council also receives reports from standing and ad hoc committees of the Dean. The Dean provides periodic reports concerning the financial status of the Schools and other relevant topics.

Council of Academic Deans
The Council of Academic Deans for the Faculty of Medicine consists of Academic Deans from the major affiliated institutions, appointed jointly by the Dean and the head of the affiliated institution. The Dean chairs the monthly meetings and the Dean for Academic and Clinical Affairs and the Dean for Faculty Affairs serve as ex officio members. The Council of Academic Deans presents and makes recommendations to the Dean on candidates for possible appointment to the Professorial rank and on search requests at the Professorial level. The Council also advises the Dean on policies as they relate to faculty at the affiliated institutions.

Conference of Department Heads
Harvard Medical School and the Harvard School of Dental Medicine are organized academically into departments, including preclinical departments based at the School and clinical departments based at the affiliated institutions and the School of Dental Medicine. The preclinical Department Heads are appointed by the Dean and the clinical Department Heads by the affiliated institutions or the School of Dental Medicine in consultation with the Dean. The Conference of Department Heads is chaired by the Dean and meets on an ad hoc basis. The Dean reviews pending policies and other matters of current interest with Conference members and solicits their comments and advice.
Council of Preclinical Chairs
The Council of Preclinical Chairs is composed of the academic Department Heads based at the Medical School. The Council is chaired by the Dean, administered by one of the Department Heads in rotation, and meets monthly. The Council of Preclinical Chairs presents and makes recommendations to the Dean on candidates for possible appointment to the Professorial rank and on search requests at the Professorial level. Additionally, the Dean reviews pending policies and other matters of current interest with Council members and solicits their comments and advice. A sub-group, the Social Science Council, meets with the Dean on an ad hoc basis to present and make recommendations to the Dean on candidates for possible appointment to the Professorial rank and on search requests at the Professorial level in the two social science departments.

Standing and Ad Hoc Committees
Over the years, the Faculty of Medicine has established various Standing Committees to carry out the on-going policies and programs of the Faculty. A listing of the current Standing Committees along with their missions and membership can be found at: http://www.fa.hms.harvard.edu. Standing committees are appointed by the Dean. A quorum for voting purposes is considered a simple majority.

Only Professors serve as voting members of promotion committees (Subcommittee of Professors; Promotions, Reappointments and Appointments Committee; and the Longer Service Committee). The votes of these Committees are advisory to the Dean of the Faculty of Medicine, who ultimately makes a recommendation to the President and Provost regarding appointments.

The Committee on Admissions consists of advisory subcommittees (four New Pathway subcommittees, an HST [the joint Harvard-MIT Health Science and Technology program] subcommittee, and an MD-PhD subcommittee) that forward candidates to the Main Committee for final decision making. Each of the subcommittees and the Main Committee are composed of 16-18 members, all of whom are faculty members, except for two who are students (Year-II students on advisory subcommittees, Year-IV students on the Main Committee). Faculty members are selected through self-nomination, nomination by department chairs, or recruitment by the Chair of the Committee on Admissions. Year-II student advisory subcommittee members are selected by self-nomination, followed by a formal student election. Year-IV student Main Committee members are selected from the group of students who served as Year-II students on advisory subcommittees and are invited to serve again by the Chair of the Committee of Admissions. Final selection of all faculty and student committee members follows an interview with the Chair of the Committee on Admissions. Advisory subcommittees make open-consensus recommendations of candidates to forward to the Main Committee. The Main Committee votes on candidates by closed, confidential ballot. A quorum for voting requires a simple majority; in all cases, the majority of voting members of the Main Committee are faculty.

Additionally, the Dean may, from time to time, appoint ad hoc committees as are required by duly approved policies of the Faculty of Medicine or as the Dean requires for advice on matters related to the operation of the Faculty of Medicine and the activities of its faculty, staff, and students.

As applicable and in accordance with the relevant policy and requests, such standing and ad hoc committees make recommendations to the Dean and/or the Faculty Council relating to the operations of the Faculty of Medicine and the activities of its faculty, staff, and students.

Faculty Appointments
Appointments and promotions to the Faculty of Medicine are described in the “System of Titles and Appointments in the Faculty of Medicine” and are managed by the Office for Faculty Affairs.

Policies and Procedures
The Dean, with the review and advice of the Faculty Council, from time to time promulgates and implements policies and procedures concerning the various operations of the Faculty of Medicine and the activities of its faculty, staff, and students to assure that those operations and activities are carried out in an orderly fashion, in accordance with the policies of the University and the requirements of applicable laws and regulations and the requirements of applicable accrediting bodies.
The office of the Dean is responsible for assuring that Faculty of Medicine policies are widely available to members of the community. In doing so, the Dean may make use of electronic means of dissemination of such policies and procedures such as electronic mail notices of new policies and amendments and posting policies and procedures on the Medical School website. All members of the community are expected to check electronic communications regularly and to familiarize themselves with policies and procedures and amendments to them.

The office of the Dean is responsible for assuring the implementation and, if necessary, the enforcement of such policies and procedures.

**Educational Organization**

The Faculty of Medicine offers educational programs leading to the M.D. degree, the M.M.Sc. degree, and the Ph.D. degree, and, at the Harvard School of Dental Medicine the D.M.D., M.M.Sc., D.M.Sc., and Ph.D. in Biological Sciences in Dental Medicine degrees. There are also programs leading to joint degrees with other Harvard schools.

**Program in Medical Education**

The Program in Medical Education (PME) at Harvard Medical School is the organizational structure housing the educational programs leading to the M.D. degree. Under the direction of the Dean for Medical Education, the PME is responsible for all aspects of the educational plan and for the development and review of educational programs.

Five academic programs report to the Dean for Medical Education, who also serves as chair of the Curriculum Cabinet and the Curriculum Committee. These units include Admissions, the Academic Societies, the Academy/Center for Teaching and Learning, the Center for Evaluation, and Student Affairs.

A parallel administrative structure is overseen by a chief administrative officer reporting to the Dean for Medical Education. The Associate Dean for Medical Education Planning and Administration has responsibility for the administrative functions of the PME, including Financial Administration, Curriculum Programs, Admissions, Financial Aid, the Registrar’s Office, and the Academy/Center for Teaching and Learning.

**Division of Medical Sciences**

The Division of Medical Sciences, based at Harvard Medical School, offers six interdisciplinary programs leading to the Ph.D. degree, administered in cooperation with Harvard’s Graduate School of Arts and Sciences, which oversees Ph.D. programs across the University. The Dean for Graduate Education and the Associate Dean for Basic Graduate Studies are responsible for the administration of the programs under the direction of the Dean of the Faculty of Medicine and the Dean for the Graduate School of Arts and Sciences at Harvard University.

**School of Dental Medicine Educational Programs**

The Office for Dental Education at the Harvard School of Dental Medicine is the organizational structure housing the educational programs leading to the D.M.D., M.M.Sc, D.M.Sc., and Ph.D. in Biological Sciences in Dental Medicine degrees. Under the direction of the Dean for Dental Education, the Office for Dental Education is responsible for all aspects of the educational plan and for the development and review of educational programs.

**Student Government**

The Harvard Medical School/Harvard School of Dental Medicine Student Council is an elected body that serves as the student government for both Schools. In addition to the Student Council, a large number of Council-approved student groups have been constituted and receive funding from monies allocated for this purpose from a central Student Council budget. The Council has developed guidelines and regulations to which its members and affiliated groups are expected to adhere. The Office of Student Affairs provides direct administrative and organizational support to the Council and to student organizations and is a liaison between these groups and the Schools and the University. Specific policies regarding student conduct, evaluation, and
academic requirements can be found in the student handbook, by visiting: http://hms.harvard.edu/content/student-handbook.

The Biomedical Graduate Student Organization (BGSO) includes over 700 Ph.D. students enrolled in HMS-based graduate programs affiliated with the Graduate School of Arts and Sciences (GSAS). The goal of the BGSO is to foster communication between the student body and the academic administrations. Additionally, the BGSO distributes Division of Medical Sciences funding to student groups that organize social or academic activities open to all DMS students.

For a complete list of HMS/HSDM Faculty Governance and Committees and current membership, please visit: http://www.fa.hms.harvard.edu.

Additional Resources for Section 2: http://www.fa.hms.harvard.edu/

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
3. Policies, Principles and Procedures for All Faculty
As of July 2016

This handbook primarily presents policies, procedures, resources and information that pertain to all faculty with HMS/HSDM appointments, regardless of employer. The vast majority of faculty are not employed by Harvard University. The school's 16 clinical affiliates and research institutions provide compensation and benefits for many faculty members as their employer. For information about institutional policies and procedures pertaining to faculty as employees, contact the appropriate local human resources office.

HMS/HSDM faculty who are employed by the University can obtain detailed information about employee benefits from Harvard Medical School (http://hms.harvard.edu/departments/human-resources/benefits) or Dental School Human Resources Offices (http://hsdm.harvard.edu/office-human-resources) or online at Harvard University Human Resources Office at http://hr.harvard.edu/. Additional information about policies that apply only to Harvard-employed faculty can be found in section 16 of this handbook.

3.1. Academic Freedom: Rights and Responsibilities for All Faculty

Harvard University has promulgated statements regarding rights, responsibilities, and community values, which govern our activities. In keeping with the traditional concepts of academic freedom, faculty cannot be dismissed for holding controversial opinions, for proposing heretical viewpoints, or for espousing unpopular causes. They are all entitled to the classical protection of the academy in the pursuit of knowledge, in their teaching, and in the publication of findings and opinions.

Useful Links:

3.2. Annual Faculty Reviews

As outlined in the 2010 report of the Faculty Development and Diversity Task Force, Harvard Medical School strongly recommends that all faculty members have an annual academic review with their immediate supervisors, division heads or Department Heads. The purpose of the review is to address academic progress, review expectations for promotion, and evaluate other issues related to job performance. For those faculty in annual or term ladder appointments, documentation of completion of an annual career conference will be expected at the time of appointment renewal. For more information, please visit:
3.3. Board of Registration in Medicine

The Board of Registration in Medicine will occasionally require a statement from the Dean of the Faculty of Medicine as a component of a temporary or full medical licensing application. The Dean for Faculty Affairs serves as the Dean’s proxy in this regard. For more information on what might be needed from the Medical School, please consult the Board of Registration’s website at www.massmedboard.org. All faculty, including visiting faculty, who interact with patients are responsible for obtaining appropriate licensure for their clinical activities.

3.4. Expectations to Teach

Appointment to the Faculty of Medicine provides distinct benefits. It affords entree to a broad scholarly community and access to the full range of Harvard University resources. It brings to a faculty member prestige, which assists in attracting patients and research funding. Most important, perhaps, it provides an opportunity to teach gifted medical, dental and graduate students and to train residents and postdoctoral fellows of exceptional quality. Members of the Faculty of Medicine are extraordinarily generous in their commitments to the School’s educational programs. Basic science faculty teach medical, dental, and graduate students and postdoctoral fellows. Clinical faculty teach medical and dental students, house staff, fellows, hospital personnel, and practicing physicians. Current pressures to deliver patient-care services or to expend greater proportions of their time finding research support, however, are requiring some faculty members to make difficult decisions vis-à-vis their time commitments. Teaching is an essential element of the scholarly life of a faculty member and should bring no economic or professional disadvantage to one faculty member over another - the obligation to teach should be equitably distributed over a collective unit within a given institution.

Given the centrality of the educational mission of HMS/HSDM, it is expected that all faculty members will engage in teaching at Harvard. Faculty are obligated to teach a minimum of 50 hours per year in the Harvard community as a requirement of their academic appointment. Teaching is defined broadly to include teaching of medical or dental students, graduate students, residents, fellows, and peers. Teaching at any school at Harvard, including undergraduates at the College, can count toward meeting this obligation if approved by one’s Department Head. Teaching may take the form of didactic teaching of students in the classroom or in labs; clinical teaching on the wards or in ambulatory clinics; research training and mentorship, including as part of the Scholars in Medicine Program; assessment of students in formal clinical exams, such as station-based OSCEs; and/or administrative teaching leadership roles.

Expectations for Teaching Medical Students

All faculty at Harvard Medical School are obligated to teach pre-doctoral medical students if called upon. These guidelines are an attempt to assure that the School’s commitment to teaching undergraduate medical students is fulfilled and distributed equitably. As citizens of the Medical School, faculty carry on the traditions of volunteerism, stewardship, and “giving back” that lie at the heart of being a physician and faculty member. In addition to teaching medical students in required courses, faculty may be called upon to give occasional lectures; to provide students with clinical skills feedback and assessment; to participate in elective courses; to function as student mentors; to supervise students in scholarly projects; and to serve on important committees crucial to the governance and functioning of the medical school without additional compensation.

http://hr.harvard.edu/.

3.5. Principles of Non-Discrimination

It is the strong and consistent policy of Harvard University, Harvard Medical School, Harvard School of Dental Medicine, and Harvard School of Public Health to treat all members of the communities with respect, to provide an environment conducive to learning and working, and to ensure equal access to rights, privileges and opportunities without regard to race, color, sex, sexual orientation, gender identity, religion, age, national or ethnic origin, political beliefs, veteran status or disability. Harvard University has codified these principles in
the University-Wide Statement on Rights and Responsibilities, which is found at: http://provost.harvard.edu/university-wide-statement-rights-and-responsibilities.

Interim procedures for addressing complaints regarding discrimination can be found at: http://hms.harvard.edu/sites/default/files/assets/Sites/HR/files/discrimination%20procedures%203%2030%2016.pdf

Once permanent procedures are in place, the proper link will be added to this site.

3.6. Sexual and Gender-Based Harassment

Harvard University is committed to maintaining a safe and healthy educational and work environment in which no member of the University community is, on the basis of sex, sexual orientation, or gender identity, excluded from participation in, denied the benefits of, or subjected to discrimination in any University program or activity. Sexual and gender-based harassment in the workplace is discriminatory, unlawful, and clearly inconsistent with the nature of an academic community. Harvard Medical School regards such behavior as a violation of the standards of conduct required of all persons Associated with the institution. Harvard University has adopted a policy addressing sexual and gender-based harassment that applies to all members of the Harvard community. For more information, please visit: http://titleix.harvard.edu/files/titleix/files/harvard_sexual_harassment_policy.pdf.

For information about the HMS/HSDM procedures for handling complaints involving faculty, please visit: http://hms.harvard.edu/departments/human-resources/policies-and-guidelines/sexual-and-gender-based-harassment-policy-0.

See Principles of Non-Discrimination (above) for concerns regarding other forms of harassment.

3.7. Unprofessional Relationships and Abuse of Authority

Consensual romantic relationships that might be appropriate in other circumstances have inherent dangers when they occur between any HMS or HSDM faculty member, fellow, or officer and any person over whom he/she has a professional responsibility, e.g., as a teacher, advisor, preceptor, or supervisor. HMS and HSDM faculty, fellows, and officers should be aware that any romantic involvement with students, other trainees, junior colleagues, or staff members over whom they have a professional responsibility makes them liable to complaint and formal action. Faculty should consult the following policy regarding responsibilities Associated with their roles as a supervisor, teacher, preceptor and/or advisor in such situations: http://hms.harvard.edu/sites/default/files/assets/Sites/HR/files/HMS%20unprofessional%20relationship%20policy%20071415.pdf.

3.8. Use of the Harvard Name

Harvard University has promulgated a policy on “Use of Harvard Names and Insignias” which applies to the use of the “Harvard” name (and logos) by faculty members and others, including Harvard programs and affiliates, and has also promulgated associated guidelines on “Use of the Harvard Name in Internet Addresses, Domain Names, Web Sites and Other Electronic Context” and on “Guidelines for Responding to Requests from Third Parties for Endorsements.” These University documents can be found at: http://www.provost.harvard.edu. In accordance with the Harvard name policy, the Medical School has also promulgated supplemental rules consistent with the University policy and guidelines: http://hms.harvard.edu/sites/default/files/assets/Sites/UseOfName/University%20Name%20Policy.pdf. The purpose of the HMS Use of Name policy is to highlight the major points of the University policy and guidelines and to set forth the Medical School's supplemental rules as well as the process for review and approval of the use of the Harvard name at Harvard Medical School.
For more information, including appropriate contacts, best practices for approval or to submit a request, please visit: http://hms.harvard.edu/departments/office-communications-external-relations/what-we-do/use-name-inquiries.

3.9. Values Statement (HMS Community)

Harvard Medical School is a community dedicated to excellence and leadership in medicine through education, research and clinical care. We aspire to excellence through a commitment to our community values. Faculty members are encouraged to use and incorporate these values into their teaching and their work. For more information and to read the statement in entirety, please visit: http://hms.harvard.edu/departments/hms-community-values.

3.10. Faculty of Medicine Policies on Integrity in Science

The Office for Academic and Research Integrity (ARI) is responsible for implementing the policies and guidance adopted by the Faculty of Medicine, as well as the policies and regulations promulgated by the federal government and its agencies in the areas of conflict of interest, research misconduct, and integrity in science. For convenience, the major areas addressed by the HMS policies on integrity in science are summarized here. For the full authoritative version of these policies, please visit ARI’s website: http://ari.hms.harvard.edu.

3.10.1. Policy on Conflicts of Interest and Commitment

The University applauds the creative ways in which our Faculty fosters relationships with fellow academics, the governmental and other agencies and entities that fund and otherwise support research, and the companies that work to commercialize innovations and bring therapies to patients. These partnerships have great potential for innovation and success, and are consistent with the mission of Harvard Medical School (HMS) to alleviate human suffering caused by disease.

With the many benefits that flow from partnerships with industry and others comes the potential for conflicts of interest. The Faculty of Medicine believes that, with clear principles and guidelines, collaboration between industry and academic medicine is consistent with the highest traditions of the medical profession and can energize scientific creativity.

In compliance with the Harvard University Policy on Individual Financial Conflicts of Interest for Persons Holding Faculty and Teaching Appointments, the Faculty Policy on Conflicts of Interest and Commitment is intended to serve as a guide for faculty members in structuring their relationships with industry and other outside ventures in view of their academic responsibilities for teaching, research and patient care. The full text of the University policy can be found at http://files.vpr.harvard.edu/files/vpr-documents/files/harvard_university_fcoi_policy_4_0.pdf.

The Faculty of Medicine at Harvard Medical School has developed a Policy on Conflicts of Interest and Commitment to implement the principles espoused in the University policy. The Faculty of Medicine’s COI Policy includes important information to guide certain faculty relationships with industry that are presumed to be prohibited, as well as to structure relationships between our Faculty and industry, protect against research risks, and maintain public trust. The Office for Academic and Research Integrity works in partnership with our affiliated institution for the implementation of this policy. For further information, please visit: http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/final_hms_coi_policy_05_12_16.pdf.

3.10.2. Principles and Procedures for Handling Allegations of Faculty Misconduct

The integrity of the teaching, research and clinical programs of the Faculty of Medicine requires that the Faculty pay careful attention to and resolve in an equitable manner allegations of misconduct of faculty appointees and fellows. Because of variations in such factors as the kind of misconduct alleged, the seriousness of the allegations, the nature of the dispute over the facts, and the interests and involvement of other private or public institutions and agencies, the course of action that will enable the Faculty to fulfill this responsibility in the best possible manner is likely to vary from case to case.
The Addendum to the policy includes procedures for handling allegations of misconduct related to biomedical or behavioral research, research training, or other activities related to that research training. For more information, please visit: [http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/principles_and_procedures_for_dealing_with_allegations_of_faculty_misconduct.pdf](http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/principles_and_procedures_for_dealing_with_allegations_of_faculty_misconduct.pdf).

### 3.10.3. Authorship Guidelines

Authorship is an explicit way of assigning responsibility and giving credit for intellectual work. Authorship practices should be judged by how honestly they reflect actual contributions to the final product. Authorship is important to the reputation, academic promotion, and grant support of the individuals involved as well as to the strength and reputation of their institution.

The Faculty Council of Harvard Medical School has endorsed guidelines regarding authorship. Although authorship practices differ from one setting to another, and individual situations often require judgment, variation in practices should be within these basic guidelines. For more information, please visit: [http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/authorship_guidelines.pdf](http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/authorship_guidelines.pdf).

### 3.10.4. Guidelines for Attribution of Credit and Disposition of Research Products

Conflicts over the attribution of credit and disposition of products can arise as a result of differences of opinion over the relative importance of individual contributions to a research program, over the timing or circumstances that led to a discovery, or as an outgrowth of a breakdown in communication among colleagues. As enumerated in the existing policies, frequent discussion before, during, and after the conduct of research can prevent potential conflicts. However disagreements still may arise, and these guidelines, along with other Integrity in Science policies are designed to provide a framework for conflict resolution. Implementation of these guidelines and, generally, resolution of conflict are ordinarily best carried out at the laboratory or clinical unit level. For more information, please visit: [http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/guidelines_for_attribution_of_credit_and_disposition_of_research_products.pdf](http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/guidelines_for_attribution_of_credit_and_disposition_of_research_products.pdf).

### 3.10.5. Letters of Reference

Candor and forthrightness in letters of reference are of the greatest importance in maintaining standards of conduct and of quality among members of the biomedical profession. Guidelines for best practices in the provision of academic references can be found at: [http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/letters_of_reference_0.pdf](http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/letters_of_reference_0.pdf).

### 3.10.6. Guidelines for Editors and Authors of Medical Textbooks

These guidelines outline principles that should be followed at Harvard Medical School in the writing and editing of multi-authored, multi-edited medical textbooks in which successive editions are customarily revised. For more information, please visit: [http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/guidelines_for_authors_of_medical_textbooks.pdf](http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/guidelines_for_authors_of_medical_textbooks.pdf).

### 3.10.7. Guidelines for Investigators in Scientific Research

These guidelines are intended to bring generally accepted research practices of the Faculty of Medicine to the attention of those beginning their careers in scientific research. These recommendations are not intended as rules, but rather as guidelines from which each group of investigators can formulate its own set of specific procedures to ensure the quality and integrity of its research. For more information, please visit: [http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/guidelines_for_authors_of_medical_textbooks.pdf](http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/guidelines_for_authors_of_medical_textbooks.pdf).

### 3.10.8. Guidelines for Investigators in Clinical Research

These guidelines outline principles that should be followed at Harvard Medical School when conducting research. They are a supplement to the Guidelines for Investigators in Clinical Research. The scientific practices described here are generally accepted by investigators conducting both multi-center and single-institution clinical research studies and help ensure both the quality and integrity of scientific findings in clinical research. The guidelines are not intended to relieve investigators of any ethical obligations that may be imposed by individual Institutional Review Boards overseeing the rights of study subjects in clinical research.
The implementation of these guidelines rests within each of the affiliated institutions and the department(s) in which the research is conducted. For more information, please visit: http://ari.hms.harvard.edu/guidelines-investigators-clinical-research

3.10.9. Faculty of Medicine Statement on Research Sponsored by Industry
The Harvard University Faculty of Medicine welcomes industrially supported research agreements that stimulate its investigators, promote technological transfer, and provide valuable support. At the same time, it recognizes the need to avoid arrangements that might compromise, or seem to compromise, its intellectual principles and purposes and the freedom of inquiry that members of the Faculty enjoy. As an institution, the University benefits from public research funds and the public’s trust, and it has an obligation to develop its research discoveries with concern for the public’s interest.

This statement outlines some general principles - concerning how and why research is conducted within the Faculty of Medicine—with which all research agreements concluded with for-profit external sponsors (referred to, hereafter, as industrially-sponsored research agreements) should conform. For more information, please visit: http://ari.hms.harvard.edu/files/integrity-academic-medicine/files/faculty_of_medicine_statement_on_research_sponsored_by_industry.pdf.

3.11. Termination Documentation and Lengths of Notice for Annual and Term Appointed Faculty
For those faculty based at HMS/HSDM affiliated institutions, maintenance of an appointment in the Faculty of Medicine is dependent on, among other criteria, holding a simultaneous appointment at the affiliated institution. If the appointment at the affiliated institution is terminated, the Harvard appointment will also end. It is expected that faculty who hold annual or term appointments and trainees will be given written notice of the termination of their appointment at the affiliated institution and the associated loss of the Harvard appointment if the termination is to occur prior to the conclusion of the designated term. The expected period of notice would be:

- Trainees (clinical and research fellows): three months
- Annual appointees (e.g., Lecturers, Instructors): three months
- Term appointees (e.g., Assistant, Associate Professors and Professors, Part-time): six months

Faculty and trainees who are informed of a probationary period as part of an offer of employment or appointment are not covered by this policy until the end of the probationary period. Faculty whose employment is terminated for cause, including documented unsatisfactory performance and misconduct, are not required to receive any period of written notice as specified in this policy. Salary, severance and other forms of compensation at the time an appointment ends are determined as part of the employer-employee contract at the affiliated institution and are not governed by this policy.

Additional Resources for Section 3: http://www.faq.hms.harvard.edu
- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
4. **Ranks, Titles, Status and Terms of Appointments**  
   As of July 2016

4.1. **Definition of Voting Faculty Status**

Full- and Part-time Professors, Professors in Residence, Associate Professors, Assistant Professors, three-year Senior Lecturers, and three-year Lecturers are voting members of the faculty. Other institutional or administrative personnel and Principal Associates may be appointed to voting faculty status on an individual basis. HMS/HSDM voting faculty may not hold voting faculty appointments at any other academic institution(s).

4.2. **Protocol for Defining Full-time versus Part-time Faculty Ladder Appointments**

With the acceptance of a full-time, voting appointment in the Faculty of Medicine, an individual makes a commitment to the University (and HMS/HSDM affiliated health care or research institution, if appropriate) that is understood to be full-time in the most inclusive sense. Full-time members of the Faculty of Medicine are expected to devote their primary professional loyalty, time and energy to their teaching, research, administrative responsibilities and, where applicable, patient care at Harvard and its affiliated institutions. Accordingly, they should arrange outside activities and financial interests so as not to interfere with the primacy of these commitments. The Faculty of Medicine recognizes that its members may engage in outside professional work, and to the extent that these activities serve the collective faculty's interests as well as those of the individual participant, the Faculty of Medicine approves of such involvement. However, no more than the equivalent of one day a week of a full-time faculty member's total professional effort may be directed to outside work, and these activities require the approval of the faculty member's Department Head. Potential conflicts of commitment must be disclosed and resolved through discussions with the Office for Faculty Affairs and the Office for Academic and Research Integrity.

Faculty who hold full-time appointments are expected to meet the teaching expectations outlined in section 3.4 and work at least four days per week. Three of those four days must be at HMS, HSDM, or a primary affiliate of HMS/HSDM. For those based at a primary affiliate, up to one of those four days may be spent at an "affiliate of an affiliate." The only exception to this rule is for those who are approved by the Global and Community Health Appointments Committee, or for whom an exception has been vetted with the Office for Faculty Affairs.

Members of the faculty whose appointments are less than full-time are expected to devote professional loyalty, time and energy to their teaching, research, patient care and administrative activities at Harvard in accordance with their agreed upon time commitments. Individuals who hold part-time appointments will be expected to have met academic criteria for appointment comparable to those for full-time faculty and will have the same titles as their full-time counterparts, modified with the words "Part-time" (e.g., Assistant Professor, Part-time),
reflecting the part-time nature of their relationship to the Faculty of Medicine. Faculty who hold part-time ladder (Instructor, Assistant, Associate or Professor) appointments are expected to meet the teaching expectations outlined see section 3.4 and work at least one day per week at a primary affiliate of HMS/HSDM. Faculty will be asked at the time of appointment to confirm their understanding of the requirement to retain the modifier “Part-time” in their formal title. The only exception to this policy is for those who are approved by the Global and Community Health Appointments Committee or for whom an exception has been vetted with the Office for Faculty Affairs.

Faculty who work less than one day per week at a primary affiliate and meet the teaching expectations as outlined see section 3.4 are eligible for appointment as Lecturer, Part-time, or Senior Lecturer, Part-time see section 11. The only exception to this policy is for those who are approved by the Global and Community Health Appointments Committee or for whom an exception has been vetted with the Office for Faculty Affairs.

Because all faculty will be reviewed by the same promotion criteria, faculty who transition from part-time roles to full-time roles and have been evaluated by the single criteria (after December 2013) may change their titles from part-time to full-time as long as the appropriate search requirements have been met and the Department Head has requested the change to the Dean through the Office for Faculty Affairs.

### Examples for Determining Full-time, Part-time, and Lecturer Appointments in the Faculty of Medicine

<table>
<thead>
<tr>
<th>Minimal time at HMS/HSDM or primary affiliate</th>
<th>Full-time, Ladder</th>
<th>Part-time, Ladder</th>
<th>Non-Ladder, Full-time</th>
<th>Non-Ladder, Part-time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructors, Assistant Professors, Associate Professors, or Professors</td>
<td>≥ 4 days per week*</td>
<td>&lt; 4 days but at least 1 day per week</td>
<td>≥ 4 days per week*</td>
<td>&lt; 4 days per week</td>
</tr>
<tr>
<td>Title</td>
<td>Instructor, Assistant Professor, Associate Professor, or Professor</td>
<td>Instructor, Assistant Professor, Associate Professor, or Professor, Part-time</td>
<td>Lecturer or Senior Lecturer</td>
<td>Lecturer or Senior Lecturer, Part-time</td>
</tr>
<tr>
<td>Criteria</td>
<td>As per criteria in section 6; 50 hours teaching in the Harvard community per year; annual career conference and mentor; must hold simultaneous affiliate appointment if based at affiliate</td>
<td>As per criteria in section 6; 50 hours teaching in the Harvard community per year; annual career conference and mentor; must hold simultaneous affiliate appointment if based at affiliate</td>
<td>50 hours teaching per year; must hold simultaneous affiliate appointment if based at affiliate</td>
<td>50 hours teaching per year; must hold simultaneous affiliate appointment if based at affiliate</td>
</tr>
</tbody>
</table>

*May work up to 1 of the 4 days at an affiliate of an affiliate

Individuals who hold an executive position in a company may only be appointed to a Lecturer, Part-time or Senior Lecturer, Part-time title. An executive position is defined as one that includes fiduciary and other responsibilities for a material segment of the operation or management of a business. Specific examples include the titles of “Scientific Director” and “Medical Director.”

### 4.2.1. Procedures for evaluating requests for Full-time or Part-time ladder appointments for faculty whose academic work takes place in global and community health settings outside Harvard

Occasionally faculty by necessity must complete their academic work or a portion of their academic work in settings other than HMS/HSDM or a primary affiliate. For those individuals whose academic work requires that they be ‘off-site’ for some period of time that exceeds the standards described above, Department Heads may request an exception for a full-time or part-time appointment by explaining the following in an annual letter to the Dean the following:

- Nature of the off-site activities, the rationale for why those activities must be conducted elsewhere, and how they relate to the HMS/HDSM mission;
- Distribution of effort at all entities;
- Harvard teaching role, on and off site, including level of effort and types of Harvard students/trainees/peers taught;
4.2.2. Procedures for evaluating requests for Full-time or Part-time ladder appointments for faculty working in health settings separate from primary affiliates

As described above, full-time faculty are expected to work the equivalent of at least 4 days a week, one of which may be spent at an institution affiliated with a primary Harvard affiliate, and part-time faculty are expected to work the equivalent of at least one day a week at a primary affiliate. If an exception to these rules is desired, a Department Head may request a full-time or part-time appointment for an individual who does not meet full-time or part-time ladder criteria by providing answers to the following questions in an annual letter to the Dean:

- Does this candidate spend any time at the primary affiliate?
- Why does this candidate work off-site? Are there unique services delivered at the site? Are these services considered core to the work of the affiliate?
- What benefit does the department/affiliate/Harvard derive from the candidate’s offsite work?
- Does teaching of Harvard Associated learners occur at the affiliated site? If so, please describe the specifics of this faculty member’s contributions. If not, in what capacity does the faculty member teach Harvard learners?
- Who pays the candidate’s salary?
- If the relationship between the department and the site were to end, how likely is it that the candidate would be integrated into the primary department?
- Does this candidate have academic affiliations or titles at other institutions?

In addition to the letter, the Department should submit to the OFA the candidate’s current Faculty of Medicine CV. The Dean’s office will review each request and the OFA will inform the Department Head of the rationale for approving or not approving the requested full-time or part-time ladder appointment exception. Additional information may be requested by the OFA to assist with these deliberations.

4.3. Titles and Appointments in the Faculty of Medicine

The table below details the various titles in the Faculty of Medicine and the basic criteria, process, and term for each rank. Visiting faculty titles and appointments are described in section 12.

4.3.1. Holding Title as Member of the Faculty for New Faculty Recruits

New recruits to the Faculty of Medicine whose official title (other than Instructor or Lecturer, which can be requested directly) is pending review by an appointment committee may be given the title of Member of the Faculty, generally for up to one year, while waiting for approval of their ultimate intended title. This appointment will allow for activation of their Harvard ID and access to Harvard resources. To apply for this title, follow the detailed process below.
## Detailed Process for Holding Title as Member of the Faculty for New Faculty Recruits

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The Department Head writes to the Dean of the Faculty of Medicine requesting approval for a Member of the Faculty appointment.</td>
</tr>
<tr>
<td></td>
<td>Department Head submits to the Office for Faculty Affairs:</td>
</tr>
<tr>
<td></td>
<td>- Quick hire form in PeopleSoft for individuals external to HMS; eTAD for individuals who have held an appointment or position at HMS</td>
</tr>
<tr>
<td></td>
<td>- Nominating letter outlining the expected timeline for submission of materials for the rank appointment.</td>
</tr>
<tr>
<td></td>
<td>- Candidate’s CV in required FoM format</td>
</tr>
<tr>
<td></td>
<td>- Search documentation as appropriate for the final title.</td>
</tr>
<tr>
<td>2.</td>
<td>Review by the Office for Faculty Affairs</td>
</tr>
<tr>
<td></td>
<td>- Submission will be reviewed to ensure the materials above have been submitted.</td>
</tr>
<tr>
<td>3.</td>
<td>Notification of approval</td>
</tr>
<tr>
<td></td>
<td>- Department Administrator receives electronic notification when an HUID has been created in the Harvard University system.</td>
</tr>
</tbody>
</table>
### 4.3.2. Faculty Titles and Appointments (for visiting titles, see section 12)

<table>
<thead>
<tr>
<th>Appointment Series</th>
<th>Full-time, ladder**</th>
<th>Part-time, ladder**</th>
<th>Lecturer</th>
<th>Senior Lecturer</th>
<th>Professor-in-Residence</th>
<th>Professor Emeritus</th>
<th>Corresponding Member of the Faculty</th>
<th>Member of the Faculty</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level of Effort</strong></td>
<td>≥ 4 days per week at HMS/HSDM or primary affiliate*</td>
<td>≥ 1 day per week, but fewer than 4 days per week, at HMS/HSDM or a primary affiliate*</td>
<td>May be from full-time to less than 1 day per week but at least 50 hours of teaching of Harvard learners per year</td>
<td>May be from full-time to less than 1 day per week but at least 50 hours of teaching of Harvard learners per year</td>
<td>≥ 4 days per week at HMS/HSDM or primary affiliate</td>
<td>Determined by Department Head</td>
<td>Determined by Department Head</td>
<td>Determined by Department Head</td>
</tr>
<tr>
<td><strong>Title</strong></td>
<td>Instructor, Assistant Professor, Associate Professor, or Professor</td>
<td>Instructor, Assistant Professor, Associate Professor, or Professor, Part-time</td>
<td>Lecturer</td>
<td>Senior Lecturer</td>
<td>Professor in Residence</td>
<td>Professor Emeritus</td>
<td>Corresponding Member of the Faculty</td>
<td>Member of the Faculty</td>
</tr>
<tr>
<td><strong>Academic Criteria</strong></td>
<td>As per criteria in section 6, emphasis on scholarship, level of reputation, teaching, and service; only Longer Service criteria for Assistant Professor do not require written scholarship</td>
<td>Same as for full-time ladder appointments</td>
<td>Teaching excellence; no requirement for written scholarship</td>
<td>Exceptional teaching and noteworthy, long-established accomplishment in one’s field; reputation consistent with general criteria for a Professorial appointment</td>
<td>Has previously held appointment as Professor at outside institution; national reputation</td>
<td>Full-time Professor</td>
<td>Ladder faculty member other than full-time Professor</td>
<td>Holding appointment for new faculty while awaiting approval of intended title</td>
</tr>
<tr>
<td><strong>Other criterias</strong></td>
<td>Doctorate; may not hold an executive position in a for-profit entity</td>
<td>Doctorate; may not hold an executive position in a for-profit entity</td>
<td>Will be a part-time appointment unless commitment is ≥ 4 days per week</td>
<td>Rare appointment; will be a part-time appointment unless commitment is ≥ 4 days per week</td>
<td>Doctorate; rare appointment; short-term position must be approved by Provost before individual can be nominated; limited to a five-year term with one option for renewal; no rank below Professor; external recruitment only</td>
<td>Retiree, age 60 or older with at least 10 years of active Harvard service who has held appointment as full-time Professor at HMS/HSDM</td>
<td>Retiring ladder faculty member other than full-time Professor, greater than age 60 with at least 10 years of active Harvard service and maintaining some limited role at Harvard</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>For Professor appointment, ad hoc review and SOP; for Assistant and Associate Professor appointments, P&amp;R or Longer Service Committee; for Instructor appointments, review by Dean’s office</td>
<td>For Professor appointment, ad hoc review and SOP; for Assistant and Associate Professor appointments, P&amp;R or Longer Service Committee; for Instructor appointments, review by Dean’s office</td>
<td>Annual review by Lecturer Appointment Committee; opportunity to advance to a three-year Lecturer appointment after three one-year terms and documentation of sustained, exceptional teaching contributions to Harvard</td>
<td>Annual review by Lecturer Appointment Committee; opportunity to advance to a three-year Senior Lecturer appointment after three one-year terms and documentation of sustained, exceptional teaching contributions to Harvard</td>
<td>Department requests short-term position of Dean; if position approved by Dean and provost, Dean’s office obtains letters of comparison for review by Senior Appointments Committee, CAD/PCC/SSC (as appropriate), and SOP</td>
<td>Department requests position of Dean upon retirement of faculty member</td>
<td>Department requests position of Dean upon retirement of faculty member</td>
<td>Department requests position of Dean</td>
</tr>
<tr>
<td><strong>Term</strong></td>
<td>Professor: indefinite; Associate Professor: five years; Assistant Professor: three years; Instructor: one year</td>
<td>Professor: five years; Associate Professor: five years; Assistant Professor: three years; Instructor: one year</td>
<td>One year unless appointed three-year Lecturer</td>
<td>One year unless appointed three-year Senior Lecturer</td>
<td>Five years and option for one renewal of the five-year term</td>
<td>No term limits</td>
<td>One year, renewable based on continued association with Harvard</td>
<td>One year, non-renewable</td>
</tr>
<tr>
<td><strong>Search required?</strong></td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
</tbody>
</table>

* See Global and Community Health exceptions for full and part-time appointments for individuals who do not meet the criteria. Full-time faculty may spend one of the four days working at an "affiliate of an affiliate."
4.4. Renewal of Appointment Terms and Tenure Clock

For information about the tenure clock and tenure clock extensions for faculty based in quadrangle Basic and Social Science Departments, see section 16.

Faculty based in clinical and HSDM departments are not subject to a tenure clock and may be reappointed at any rank indefinitely, with the exception of appointment as Professor in Residence, which may only be renewed once. To renew an appointment, the Department must submit appropriate documentation based on rank (see sections 7-11 for reappointment requirements at each rank). There is no minimum or maximum time at rank required before a promotion may be reviewed. However, at each five-year interval that a faculty member is an Instructor, or at the time of a second reappointment to a term position (e.g., at six years for Assistant Professors and 10 years for Associate Professors) and each term reappointment cycle thereafter, Department Heads will, in addition to the routine reappointment documentation, provide an update in the form of a letter to the Dean regarding the academic trajectory for the faculty member and the likelihood of academic advancement.

Additional Resources for Section 4: http://www.fc.hms.harvard.edu/
- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
5. **Guidelines for Academic Recruitment**  
*As of July 2016*

### 5.1. Basic Guidelines for Academic Recruitment

Open recruitment of faculty ensures the opportunity to bring the current and future leaders of our disciplines to Harvard. As affirmed in the School’s Mission Statement, we aspire to "create and nurture a diverse community of the best people committed to leadership in alleviating human suffering caused by disease." Excellence of the Faculty of Medicine depends on identifying the broadest possible pool of candidates and evaluating those candidates with a rigorous process that minimizes bias.

We subscribe to the following key principles:

- Ensuring maximal effort to minimize bias, conscious and unconscious, from our procedures;
- Using evidence, where available, to establish effective practices in faculty recruitment;
- Providing training to those entrusted to lead and shepherd our faculty recruitment processes;
- Developing strategies for identifying the broadest possible pool of candidates;
- Creating nimble mechanisms to facilitate timely recruitment of outstanding candidates;
- Complying with all laws and regulations regarding faculty recruitment;
- Partnering with our affiliated institutions to support processes that comply with these principles while achieving local objectives.

### 5.2. Guidelines for Recruitment across Harvard-Affiliated Institutions

The following guidelines shall apply for full-time ladder faculty at Instructor through Full Professor rank within Harvard Medical School:

- Faculty recruitment opportunities at Instructor rank or above that represent an academic or a professional advancement (i.e., new job description or increased responsibility) at one Harvard-affiliated institution should be available to faculty at all Harvard-affiliated institutions. The best candidate, whether from within or outside the Harvard Medical community, should be recruited. Whenever one Harvard institution selects an internal final candidate from another Harvard institution, and there is concern or disagreement within the Harvard Medical community, the proposed recruitment will be reviewed by the Dean of the Faculty of Medicine and the Council of Academic Deans. The recruiting Department Head should provide to the Dean and Council documentation justifying the need to fill the position internally. The recruiting institution will consider the views of the Dean of the Faculty of Medicine and the Council of Academic Deans before making a final decision.
- Faculty recruitment at Instructor rank or above which involves a lateral move (i.e., no change in academic position, job description or responsibility) between Harvard institutions will be reviewed by the
Governance, Appointment and Promotion Handbook

Dean of the Faculty of Medicine and the Council of Academic Deans when there is concern or disagreement within the Harvard Medical community about the recruitment. The recruiting institution will consider the views of the Dean of the Faculty of Medicine and the Council of Academic Deans before making the final decision.

- Recruitment for a faculty position at the rank of Professor will be carried out through a search process in which the search committee is appointed by the Dean in accordance with the Faculty of Medicine’s Professorial recruitment policies, see section 5.4.

Currently no search is required for non-ladder or Part-time faculty.

5.3. Requirements for Searches at Harvard Medical School

5.3.1. Initial appointment as a Trainee
For Harvard Clinical and Research Fellows moving directly to faculty positions, the search performed at the level of the internship/residency/fellowship selection process serves as the required search. The period of fellow appointment at HMS/HSDM must be at least one year. In this case, no search documentation will be required at the time of first faculty appointment or subsequent promotion.

If a trainee moves to a position at an institution not affiliated with Harvard at the completion of training for any period of time, a new search is required if the department wishes to have him/her join the faculty. An exception may be made if, at the completion of HMS/HSDM training, the department offers a faculty position to a candidate, contingent upon the individual obtaining up to two years of additional training outside HMS/HSDM. In that case, a formal written job offer should have been made to the candidate before s/he leaves to pursue additional training and must be provided to HMS/HSDM at the time of appointment to the faculty. Any other break in service of any duration requires a search for the individual to return.

5.3.2. Initial appointment as Faculty

Instructor, Assistant and Associate Professor, Full-time

Search requirements
- A search must be conducted for faculty whose first post-doctoral appointment is at the level of full-time Instructor, Assistant or Associate Professor unless they meet criteria for an exception as outlined, see 5.3.3. The procedures for such a search are outlined below, see section 5.5.
- Advertising must specify that appointment will be at a rank of Associate Professor or below. Only a search approved by the Dean for recruitment of a Professor may state or imply the potential for appointment at the rank of Professor in advertisements.
- On occasion, a Professorial candidate is identified as a potential hire in a search for a faculty member at the rank of Associate Professor or below. In such instances, the chair of the committee must immediately notify the Office for Faculty Affairs, which will make a determination as to the appropriate procedures for continuation of the search. Such appropriate procedures may include the appointment of a Professorial level search committee by the Dean.

Professor, Full-time

Search requirements
All searches for positions at the Professor, Full-time rank are conducted by Search Committees appointed by the Dean unless they meet criteria for an exception as outlined see section 5.3.3. The procedures for a search are outlined below see section 5.4.

Break in service
- For a break in service from HMS/HSDM of more than two years, a search is required to appoint a returning faculty member at the rank of Professor.
- For a break in service from HMS/HSDM of less than two years, the department typically may rehire a Professor without an additional search. If a formal leave of absence (see section 15.1) was approved
by HMS/HSDM at the time the candidate left, no additional review is required. The department should submit a letter requesting reinstatement along with an eTAD and a current Faculty of Medicine CV. 

- In cases for which no formal leave of absence was granted, and the faculty member has been gone ≤2 years, the Department Head should submit a letter documenting support for the reinstatement and a description of the candidate’s activities since leaving HMS/HSDM, along with a current Faculty of Medicine CV. The Dean of the Faculty of Medicine, with advice from the Council of Academic Deans, Preclinical Chairs or Social Science Council, as appropriate, will review this submission and update the Department regarding the request for reappointment.

5.3.3. Exceptions

Exceptions to the search requirements are made for the specific circumstances below:

- Essential colleagues of a newly recruited Professor (joining Harvard within one year of the Professor’s appointment). Individuals who are eligible for the "essential colleague" exception would be those who have actively worked with the recruited Professor and are proposed for appointment within one year of the recruited Professor’s start date at HMS/HSDM. Although no search is required, the candidate’s rank is not guaranteed and will be reviewed by the appropriate appointment committee.

- Spouse of a newly recruited faculty member. If the recruited faculty member receives an annual (Instructor) or term (Assistant or Associate Professor) appointment, the spouse cannot be reviewed for a rank higher than a term appointment.

- Appointments of faculty whose commitment to HMS/HSDM meets the Part-time criteria, see section 4.2. Highly recommended, although not required.

- Appointment to the rank of Professor in Residence, fulfilling a short-term need of the institution, see section 7.6

- Harvard Clinical and Research Fellows moving directly to faculty positions after one year or more in a Harvard training program.

- Target of Opportunity, see section 5.6

Exception to the requirement for a search does not eliminate the requirement for a complete evaluation of the candidate for appointment to the proposed rank. If a faculty member has been continuously appointed at HMS/HSDM for more than 6 years and no search documents were requested and provided at the time of prior promotion or appointment, search documentation will not be requested for subsequent appointments or promotions.

5.4. Procedures for First Appointment to the Faculty of Medicine as Professor, Full-time (Search Process)
Process Flowchart At-A-Glance for First Appointment to the Faculty of Medicine as Professor, Full-time (Search)

Step 1
Department
Search Initiation by Department

Step 2
Office for Faculty Affairs
Review by the OFA

Step 3
Office for Faculty Affairs
Search Committee Initiation

Step 4
Department
Initial meeting of Search Committee

Step 5
Department
Search Committee generates an intermediate list

Step 6
Department
Interview Process and Selection of Final Candidate(s)

Step 7
Department
Negotiating with final candidate

Step 8
Department
Search Committee identifies evaluators

Step 9
Office for Faculty Affairs
Ad hoc search review meeting

Step 10
Office for Faculty Affairs
Subcommittee of Professors reviews dossier

Step 11
Office for Faculty Affairs
Dean makes a recommendation to the University

Step 12
University
University renders a decision

Step 13
Office for Faculty Affairs
OFA notifies Department Head and candidate of outcome
With rare exception, the selection of a new Department Head is the result of a national Professorial-level search. All of the procedures described for Department Head searches also apply for a non-Department Head Professorial recruitment.

However, as a rule, in the case of searches for Professors who are not recruited to be Department Heads:

- The committee is smaller in size and includes representatives from other affiliated institutions; it may not necessarily include Department Heads.
- The CEO/President will typically not charge the committee.
- Testimony from others in the department may not be necessary.
- The pool of candidates, depending on the nature of the field in which the search is being conducted, may be smaller.
- In the case of a small number of candidates, rapid cycle interviews may not be warranted, and the intermediate list may be the same as the short list.

### Detailed Process for First Appointment to the Faculty of Medicine as Professor, Full-time (Search)

<table>
<thead>
<tr>
<th>Step</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td><strong>Search Initiation by Department</strong>&lt;br&gt;Department Head or CEO/President of the affiliated institution prepares a letter to the Dean addressing:&lt;br&gt;- Nature of the job and the criteria by which the final candidates should be judged with regard to:&lt;br&gt;  o Research needs&lt;br&gt;  o Teaching needs&lt;br&gt;  o Clinical needs&lt;br&gt;  o Administrative responsibilities (if any)&lt;br&gt;- Qualifications needed&lt;br&gt;- Composition, strengths, and weaknesses of the area and of the department&lt;br&gt;- Implication of the appointment for the department, related departments, the institution, and the Medical School&lt;br&gt;- Resources available (financial, space, human)&lt;br&gt;- Plans for the search (including appended list of proposed committee members).&lt;br&gt;- List of individuals regarded by the department as suitable candidates for the position may be appended. Ordinarily, no action on the part of the department should be taken to establish the credentials of these individuals at this time. &lt;br&gt;For HMS/HSDM affiliates which have Senior Appointments Committees, the request should be reviewed and approved by that group, then forwarded electronically by the committee chair to: <a href="mailto:seniorprofsearch@hms.harvard.edu">seniorprofsearch@hms.harvard.edu</a> &lt;br&gt;For HMS/HSDM affiliates which do not have Senior Appointment Committees, the Department Head or CEO/President making the request should forward it electronically to the OFA at <a href="mailto:seniorprofsearch@hms.harvard.edu">seniorprofsearch@hms.harvard.edu</a>.</td>
</tr>
<tr>
<td>2.</td>
<td><strong>Review by the OFA</strong>&lt;br&gt;Clinical Departments&lt;br&gt;- The Dean’s office reviews the proposal from the perspective of academic and institutional needs.&lt;br&gt;- The Dean’s office circulates the proposal to the Council of Academic Deans (CAD) requesting advice regarding the search and committee membership.&lt;br&gt;- Upon approval by the CAD, the OFA informs the department/institution regarding search approval and initiation.&lt;br&gt;- The search committee should not be invited nor should advertisements and other publicity regarding the position be initiated prior to this approval.&lt;br&gt;Basic and Social Sciences Departments&lt;br&gt;- The request for a search is reviewed during the annual Departmental planning process or is forwarded to the Executive Dean for Administration who makes a recommendation to the Dean.&lt;br&gt;- A formal letter of approval is sent to the Department Head from the Dean.&lt;br&gt;- The OFA will contact the department regarding the search initiation.&lt;br&gt;- The search committee should not be invited nor should advertisements and...</td>
</tr>
</tbody>
</table>
### 3. Search Committee Initiation

- On behalf of the Dean, the OFA invites the search committee. Generally, Department Head searches have 10-16 members while non-Department Head Professorial searches may have a smaller number of members.
- The Dean invites the Chairperson of the search committee; for affiliated-institution positions the selection is made with advice from the institution Director/President/Academic Dean and Department Head when appropriate. It is recommended that another Department Head at the recruiting institution or a comparable senior faculty member chair the search committee when the search is for a Department Head.
- Voting members of the Search committee may include:
  - Professors from the field in which the search will occur; may include persons outside the Medical School and Harvard University.
  - Professors from related fields
  - Professors from affiliated institutions other than the institution seeking the candidate
  - Director/president/trustee/vice-president and/or academic Dean of the affiliated institution
  - Representative of the Dean’s office
- Members of the Search committee may NOT include:
  - Anyone likely to be a candidate.
  - Anyone who will report to the new Professor.
  - Faculty members who do not hold the rank of Professor other than those described above
- Faculty and others not eligible to serve as members of the search committee may testify to the search committee, suggest names, meet with candidates, and provide feedback on candidates to search committees. These individuals do not participate in the final selection.
- The Senior Appointments Committee, CAD or the Dean’s Office, may modify the list of suggested names, especially in cases where diversity is insufficient within the original proposed group of members.
- The OFA schedules an orientation with the search committee chair and the search administrator. The search administrator should not ultimately be a direct report of the recruited candidate.
- The Dean’s office representative from the OFA reviews with the search committee chair and the search administrator: Plans for the search, committee procedures, publicity of the position, final candidate selection processes, plans for addressing diversity and unconscious bias, confidential sharing of search documents and all other search procedures.
- In the case of Basic and Social Sciences, the Dean’s office representative reviews the use of Harvard's Academic Recruiting Information System (ARiES) for documenting search procedures. For more information, please visit: [https://academicpositions.harvard.edu/](https://academicpositions.harvard.edu/)
- For all departments, OFA will establish a secure online site so the committee may share confidential documents. OFA will provide to the committee on this site a list of the committee members and contact information.

### 4. Initial meetings of Search Committee

**Search committee holds initial meetings to do the following:**
- Review the strengths and weaknesses of the field within the discipline, within the Medical School, and, if applicable, within the affiliated institution
- Review the present composition of the department.
- Review the description of the position to be filled.
- Define criteria by which candidates will be evaluated
- When appropriate (particularly for Department Head recruitments), receive a formal charge from institutional leaders such as the Dean/Dept Head/CEO/President
- Review by the representative of the Dean’s office confidentiality requirements, the search process and unconscious bias information and training.
- Develop an advertisement for the position to submit to professional or
specialty journal(s) or websites. A template for advertising, using appropriate logos, can be found on our Forms, Guidelines, and Tools webpage. To comply with federal requirements, at least one national advertisement (online or in print) should be posted for 30 days on a website or in a journal likely to reach the most appropriate candidate pool. The OFA will post advertisement(s) on the OFA website. This site links to the HMS Office for Diversity Inclusion and Community Partnership (ODCP). Equal opportunity language should be included in all advertisements which states: "We are an equal opportunity employer and all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law." Care should be taken to be sure that Harvard University is not implied to be the employer if it is not.

- Hear witnesses from inside and outside the department as appropriate
- Develop a plan for identifying the broadest possible pool of candidates. The committee should explicitly outline efforts to identify women and individuals from groups underrepresented in medicine. If there is a significant leadership component to the position, then OFA will post the advertisement on the Executive Leadership in Academic Medicine (ELAM) website which reaches women leaders in academic medicine. A list of other sites for reaching a diverse pool of candidates will be provided to the search committee chair and can be found below at the Forms, Guidelines and Tools webpage.
- Develop a list of persons in the field to be consulted about names of potential candidates, including women and minorities.
- Develop a list of names of potential candidates, specifically noting women and minority candidates in the field.
- Consider candidates from inside or outside Harvard Medical School.
- Collect the names of candidates developed from all these sources and create a long list of potential candidates
- Discuss a strategy for narrowing the long list and interviewing candidates

<table>
<thead>
<tr>
<th>5. Search Committee generates an intermediate list</th>
<th>6. Interview Process and Selection of Final Candidate</th>
</tr>
</thead>
</table>
| *Using the position criteria specified in the initial stage of the search, the committee may choose among the following approaches for narrowing the long list:*  
  - Solicit CVs from all candidates on the long list or solicit CVs from a subset of candidates on the long list (subset determined by committee discussion or other sources of information about the candidates including websites, personal knowledge of the candidates, and/or recommendations from leaders in the field.)  
  - Evaluate CVs/candidate credentials against position criteria through mechanisms such as:  
    - All committee members evaluate all candidates, ranking individuals as A (strong interest), B (to be discussed further) or C (no further consideration)  
    - Each candidate is discussed by 1-2 reviewers pre-assigned from among the committee members and the candidate is ranked based on the presentation of the reviewers  
  - The number of candidates selected for interview is variable, but typically ranges from 3-12. Candidates rated are contacted to alert them to their status. |
| *Intermediate list candidates are invited to interview for the position  
  - The interview process is to be determined by the committee. Examples of possible interview procedures include:  
    - Traditional process: all candidates spend 1-2 days meeting members of the search committee individually and, often, the committee as a whole  
    - All candidates meet with the committee as a whole  
    - All intermediate list candidates interview over the same 2-3 day window with the search committee, each having a 45-60 minute interview with the whole committee in rapid succession (known as rapid cycle interviewing)* |
<table>
<thead>
<tr>
<th>7. Negotiating with final candidate</th>
<th>Department Head or CEO/President negotiates with final candidate:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• If an internal candidate is selected, a report of the search process is submitted to OFA and the search is closed. The committee takes no action regarding the faculty member’s academic appointment.</td>
</tr>
<tr>
<td></td>
<td>• If an external candidate is selected and will be proposed for appointment at the rank of Professor, the search committee, with the assistance of the OFA, will solicit letters of evaluation as below (see Step 8).</td>
</tr>
<tr>
<td></td>
<td>• If an external candidate is selected and will be proposed for appointment at the rank of Associate Professor or below, the department will manage the preparation of the appointment package as for any individual recruited to a junior rank see section 5.5.</td>
</tr>
<tr>
<td></td>
<td>• If none of the candidates identified through the Professorial search process is hired, additional candidates from the search process could be re-evaluated, the search could be re-opened or the recruiting institution could decide to have an interim or acting chair or other administrative hospital title and then initiate a new search process in the future.</td>
</tr>
<tr>
<td></td>
<td>• If the search is closed, a new request must be submitted to the Dean to resume the search.</td>
</tr>
<tr>
<td></td>
<td>• If the search is unsuccessful, goes on hiatus for a period of time, and is resumed, a new advertisement will need to be placed according to the guidelines for advertising above in Step #4.</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>8. Search Committee identifies evaluators</th>
<th>If the search committee identifies a candidate from outside Harvard, the evaluation of the external candidate proceeds. The search committee identifies 3-5 comparands and 10-12 experts in the candidate’s field to provide letters of comparison and evaluation. No one who was on the long list for the search should be asked to write a letter. The search committee also determines by what academic criteria the candidate should be evaluated see section 6. The candidate provides an updated Faculty of Medicine CV and a self-selected annotated list of ten significant scholarly works.</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>The OFA reviews the list of proposed comparands and letter writers, solicits the letters on behalf of the Dean and Search Committee and manages any follow up communication needed. Once the letters have been received, the dossier is shared with the search committee, which votes for or against recommending a Professorial appointment for the candidate. If the vote is favorable, the Professorial evaluation process continues to the ad hoc search review.</td>
</tr>
</tbody>
</table>
If the vote is against a Professorial appointment, but is in favor of an Associate Professor appointment, the department submits an Associate Professor package to the OFA. The committee takes no action regarding the faculty member’s appointment. See section 8 for Associate Professor appointments.

Search documentation other than the search report must be provided to OFA at least six weeks prior to the ad hoc search review committee meeting, as this will inform who is ineligible to serve on the ad hoc search review committee. The search report is due at least two weeks in advance of the ad hoc search review committee meeting.

<table>
<thead>
<tr>
<th>9. Ad hoc search review meeting</th>
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<tbody>
<tr>
<td>The OFA will invite ad hoc search review committee consisting of members from within and outside Harvard and schedule this meeting. A senior HMS Dean will chair this committee.</td>
</tr>
<tr>
<td>The purpose of this meeting is twofold: to review the search process and the qualifications of the candidate for appointment as full Professor.</td>
</tr>
<tr>
<td>The search committee chair will be asked to attend a portion of this meeting as a representative of the search committee. If s/he is unable to attend, another member of the search committee may attend instead.</td>
</tr>
<tr>
<td>A member of the Subcommittee of Professors (SOP) will attend this meeting and write a report summarizing the key points and the committee’s vote. The case will move forward for review by the Subcommittee of Professors if the vote is favorable. If substantial concerns arise, the OFA will initiate further discussion with the recruiting institution.</td>
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<tr>
<th>10. Subcommittee of Professors reviews dossier</th>
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<tbody>
<tr>
<td>See section 8, steps 1-9, with the exception that the Chair of the Search Committee may be invited to attend SOP to answer questions.</td>
</tr>
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<thead>
<tr>
<th>11. Dean makes a recommendation to the University</th>
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<tbody>
<tr>
<td>The Dean of the Faculty of Medicine reviews all recommendations from the SOP.</td>
</tr>
<tr>
<td>The Dean submits a recommendation, positive or negative, to the University.</td>
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<tr>
<td>No decision is final until the University review is complete.</td>
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<tr>
<th>12. University renders a decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University reviews and renders a decision regarding the proposed appointment for each candidate.</td>
</tr>
<tr>
<td>A final decision is communicated to the Dean and OFA.</td>
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<tr>
<th>13. OFA notifies Department Head and candidate of outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Dean’s office informs the Department Head.</td>
</tr>
<tr>
<td>Formal letters from the Dean and the University are sent directly to successful candidates at the conclusion of the process.</td>
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</tbody>
</table>
5.5. Procedures for First Appointment to the Faculty of Medicine for Full-time Instructor, Assistant and Associate Professors (Search Process)

**Detailed Process for First Appointment to the Faculty of Medicine for Full-time Instructor, Assistant and Associate Professors (Search)**

<table>
<thead>
<tr>
<th>Step</th>
<th>Process</th>
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</table>
| 1. Search Initiation by Department | Department Head or division chief identifies need for a new faculty member.  
Search committee is appointed from the faculty in the department and, as appropriate, from other departments with related scientific/clinical interests. Four to six members and the chairperson are typical, ideally including women and faculty from groups underrepresented in medicine. Faculty may be of any rank. |
| 2. Search Committee generates an intermediate list | Search committee meets to refine job description, discuss procedures for conducting the search, define criteria for the position and discuss plans for publicizing the position, maximizing the breadth of the pool of candidates. Such efforts include discussion of:  
- Methods to be used for soliciting candidates (record of activities to be included in the final search report), e.g., advertisements, recruitment sessions, letters, phone calls to solicit candidates from experts in the field. Note that an advertisement in a print or a web-based journal likely to reach the broadest, most appropriate pool of candidates must be posted for thirty days and hard copies of the original advertisement must be provided at the conclusion of the search.  
- All advertisements should specify the potential rank(s) of the appointment and may not include appointment as Professor unless the Dean approves the search process. Advertisement must not be limited to a blanket statement of ‘rank commensurate with experience, but must explicitly state at least one rank must be below Professor. |
- Equal opportunity language should be included in all advertisements which states: "We are an equal opportunity employer and all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law."
- For those faculty being hired by an affiliate of HMS/HSDM, the advertisement and other publicity for the position may reference the appointment but should not imply that Harvard University will be the employer of the recruited candidate.
- Steps should be taken to identify women/minority candidates, which may include specific inquiry regarding female and minority candidates; letters soliciting candidates specifically sent to women and minority leaders in the field; contact with national professional/specialty organizations; lists from the Association of American Medical Colleges; and/or personal calls to appropriate individuals made by members of the search committee.
- Search committee:
  - Builds a long list of possible candidates.
  - Develops set of criteria by which candidates will be judged.
  - Obtains and reviews CV’s from potential candidates
  - Ensures that all female and minority candidates receive the fullest and fairest consideration.
  - Reviews potential candidates and identifies the strongest candidates who meet the position criteria.

3. Interview Process and Selection of Final Candidate

- Short list candidates are invited to interview for the position
  - The interview process is to be determined by the committee.
  - Examples of possible interview procedures include:
    - All candidates spend 1-2 days meeting members of the search committee individually and, often, the committee as a whole;
    - All candidates meet with the committee as a whole;
    - Candidates are interviewed by a designated subset of the committee who report back to the committee as a whole;
    - Candidates are initially interviewed by Skype or teleconference before being invited to interview in person
  - Maintaining consistency of the interview procedure across candidates and including a list of questions for all candidates to address are strongly recommended as strategies to minimize unconscious bias.
  - The committee should vote on interviewed candidates following a complete discussion of strengths and weaknesses
  - Subsequent (second round) interviews with finalist candidates are often indicated.
  - Recommendations of the committee are presented to the hiring leader, typically a Division Chief, Department Head or CEO/President.

4. Negotiating with final candidates

- The Department Head or designated leader negotiates with final candidates.
  **Note:** If at any point in the search process the search committee has advertised explicitly for a candidate for the rank of Instructor, Assistant or Associate Professor but identifies as a leading candidate an individual whose appointment would be at the full Professor and not the annual or term appointment level, the chairperson of the committee must immediately notify the OFA, which will make a determination as to the appropriate procedures for the continuation of the search. Such appropriate procedures may include the appointment of a search committee by the Dean.
  - Offer letters to candidates should make clear that appointment to rank is not assured and must be evaluated by the appropriate appointment committee at HMS. Until rank approved, the title of Member of the Faculty would be the appropriate holding appointment **see section 4.3.1.**
  - Once a candidate accepts the position, the Department prepares an appointment dossier appropriate to the anticipated rank (**see sections 8, 9, and 10 for details about materials needed for appointment**) and includes documentation of the search. **See section 8 for next steps**
5.6. Procedures for Target of Opportunity Recruitments

Harvard Medical School aspires to “create and nurture a diverse community of the best people committed to leadership in alleviating human suffering caused by disease.” The excellence of the Faculty of Medicine depends on identifying the broadest possible pool of candidates and evaluating those candidates with a process that is rigorous and as free of bias as possible. A robust search process is ordinarily required to achieve our goals. However, in rare instances the Hospital or Department may request an exception to a search for an exceptional full Professor or for a junior faculty member who will fulfill key institutional diversity goals.

<table>
<thead>
<tr>
<th>Step</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head prepares case for a target of opportunity recruitment</td>
</tr>
<tr>
<td>2.</td>
<td>PCC/SSC/Department Executive Committee reviews candidate</td>
</tr>
<tr>
<td>3.</td>
<td>Institution or Department petition Dean for target of opportunity exception</td>
</tr>
<tr>
<td>4.</td>
<td>Dean’s and Provost offices review</td>
</tr>
<tr>
<td>5.</td>
<td>Evaluation or search as appropriate</td>
</tr>
<tr>
<td>6.</td>
<td>Office for Faculty Affairs</td>
</tr>
</tbody>
</table>

Reporting of outcomes

**Detailed Process for Targets of Opportunity Recruitments**

1. Department Head prepares case for a target of opportunity recruitment
   - The Department Head will provide a letter and CV to the institutional leader documenting the rationale for the recruitment without a full search, addressing the unique nature of the candidate’s qualifications and the specific circumstances that justify treating the situation as a ‘target of opportunity’ recruitment. The following factors are to be addressed in the request:
     - Excellence: the singular nature of the individual’s academic
2. **PCC/SSC/Department Executive Committee reviews candidate**

The Department Head will present the case to the PCC, SSC or Department Executive Committee as appropriate and those bodies will share their recommendations with the Dean regarding whether the unique characteristics of the candidate present an exceptional opportunity for the Harvard community that would support by-passing the typical search mechanisms.

3. **Institution or Department petition Dean for target of opportunity exception**

The CEO, Dean of HSDM, or quad Department Head, as appropriate, will submit the candidate’s CV, the opinion of the PCC, SSC, or Executive Committee (if available) and a letter on behalf of the institution (in the case of the quad, on behalf of the Department) to petition the Dean’s Office for a Target of Opportunity exception.

4. **Dean’s and Provost offices review**

The Dean will review the request with any advisory body deemed appropriate (e.g., the Council of Academic Deans). If approved, the case will be reviewed with the Office of the Provost. If acceptable to the Dean and the Office of the Provost, the case will be managed as an evaluation rather than a search.

5. **Evaluation or search as appropriate**

If approved, the Affiliated Institution may proceed with the steps necessary for an evaluation for appointment as professor, see section 7. If not approved, the candidate may be considered through a typical search process, see section 5.4.

6. **Reporting of outcomes**

The total number of searches per Affiliated Institution, noting the proportion that were completed as ‘targets of opportunity’ recruitments, will be reported in the annual promotion and appointment statistics for the Faculty of Medicine.

*In the affiliated institutions, the department head will approach the CEO; at HSDM, department heads will approach the Dean of HSDM; on the HMS quadrangle, department heads will approach the Dean.*

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### Additional Resources for Section 5: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)

- Checklists, Forms, Guides and Templates (see by section) 📂
- Faculty of Medicine CV Guidelines 📂
- Glossary 📂
6. Criteria for Appointments and Promotions
As of July 2016

The decision regarding a faculty member’s readiness for promotion or appointment to a specific rank is ultimately determined by the Department Head. Faculty members are encouraged to discuss eligibility for promotion with appropriate mentors, Division Chiefs, their Department Head and other leaders who can advise regarding the candidate’s achievement of the milestones highlighted in these criteria. There is no required time a faculty member must remain at rank before a promotion can be proposed. Candidates for full-time and part-time ladder appointments are reviewed by the same criteria.

Steps for Creating a Promotion Profile

#1 Select one of the three Areas of Excellence (required)
- Clinical Expertise and Innovation
- Investigation
- Teaching and Educational Leadership

The Area of Excellence should represent the candidate’s major area of achievement and impact and be the basis of the candidate’s reputation and recognition. The choice of the Area of Excellence should include a consideration of the quantity as well as quality of contribution. It should represent recent activities to which the faculty member has devoted a substantial proportion of time and academic effort. Scholarship, broadly defined, is a requirement in all categories (with the exception of promotions by Longer Service criteria, see section 9.3). One’s Area of Excellence may be different at subsequent promotions.

#2 Report on Teaching and Education (required)
All faculty will be evaluated for contributions to teaching and education activities at Harvard and its affiliates and are expected to devote a minimum of 50 hours per year to such activities. Teaching of HMS/HSDM medical, dental, and graduate students will be particularly noted. If this is the candidate’s first faculty appointment at HMS/HSDM, teaching contributions at institutions where the candidate previously held a faculty position will also be assessed. Faculty whose Area of Excellence is Teaching and Educational Leadership will have already been assessed for their contributions to teaching (see step #1 above). Such activities are broadly defined to include:
- Didactic teaching of students, trainees and peers
- Research training and mentorship
- Clinical teaching and mentorship
- Administrative teaching leadership roles
#3 Specify One or More Significant Supporting Activity (optional)

Many faculty make significant contributions outside their designated Area of Excellence and teaching. Significant supporting activities may represent contributions of outstanding quality and importance in domains in which the quantity of contribution is less than in the Area of Excellence. Contributions in five areas will be considered:

- Administration and Institutional Service
- Clinical Expertise
- Education of Patients and Service to the Community
- Investigation
- Special Merit in Education

Substantial academic contributions in one or more supporting activities will supplement accomplishments in the Area of Excellence in the evaluation for promotion. However, while such activities may decrease the expected quantity of contribution in the Area of Excellence, they do not diminish the requirement for exceptional quality of academic achievement in that area.

The following flowchart describes the process of choosing an Area of Excellence and the other required attributes that form a customized profile.

**Guidelines for Selecting an Area of Excellence**

The area of excellence should represent the candidate's major area of achievement and impact, including a consideration of the quantity as well as quality of contribution. The Area of Excellence should form the basis of the candidate's reputation and should be consistent with the type and focus of the candidate's scholarship. It should also represent recent activities to which the faculty member has devoted a substantial proportion of time and academic effort and may also be influenced by how the candidate views his/her career path. The determination of the Area of Excellence is made by the Department Head (or his/her designee) in consultation with the candidate.

In most cases, an individual will maintain a consistent academic focus over time, although the activities of a faculty member may occasionally change. If a substantive change in activities occurs, the Area of Excellence
and significant supporting activities selected for subsequent promotions may change as well. The candidate will be expected to meet the usual standards for the new Area of Excellence.

Faculty with their primary ladder academic appointment in Basic and Social Sciences departments (HMS Quad-based) will have Investigation as their Area of Excellence.

The metrics provided for each area of excellence in the following sections are not comprehensive but are meant to serve as examples of common achievements for a given rank. Candidates may report achievements not specified in the metrics.

6.1. **AoE: Clinical Expertise and Innovation**

This area of excellence is appropriate when a specific area of clinical expertise provides the unifying theme for the candidate's academic activities and achievements. The individual is considered a leader in a clinical field. The candidate may have a reputation as an innovator in approaches to diagnosis, treatment or prevention of disease; applications of technology to clinical care; and/or in developing models of care delivery. The candidate must demonstrate scholarship, which may include chapters and reviews in his/her area of clinical expertise, guidelines/protocols for patient care, publications evaluating the impact of a clinical innovation, and/or other research publications. There should be a strong educational component in the clinical field (reported in Teaching and Education), and the individual may participate in clinical, translational or basic scientific research related to the clinical field. If research activities are substantial, investigation should be designated as a supporting activity.

For more specific criteria by rank [see sections 7, 8 and 9].

6.2. **AoE: Investigation**

This area of excellence is appropriate for individuals who spend the majority of their time performing research. Investigation is broadly defined to include basic, translational and clinical research, including epidemiology, outcomes and health services research, and biostatistics as well as research in social sciences, ethics, bioinformatics and health economics, among others. Investigation also includes the development of innovative methods/technologies and/or novel applications of existing methods and technologies. This area of excellence may also be used to recognize the contributions of individuals with research training in diverse fields that bring a unique or critical expertise to the biomedical research team. It includes individuals participating in large collaborative and multicenter research, as well as those conducting research individually or in small groups. The candidate must demonstrate scholarship, which may include first or senior author publications of original research, and/or publications from large multidisciplinary studies on which the candidate was in another authorship position and to which the candidate made documented, significant intellectual contributions.

For more specific criteria by rank [see sections 7, 8 and 9].

6.3. **AoE: Teaching and Educational Leadership**

This area of excellence is appropriate for candidates who spend a high proportion of their time on educational activities and who view education as their primary academic focus. Evaluations will be for teaching contributions at Harvard and its affiliates or, for initial faculty appointments at HMS/HSDM, at the institution where a candidate for an appointment previously held a faculty position. Teaching of HMS/HSDM medical, dental and graduate students will be particularly noted.

Educational activities are broadly defined as including: didactic teaching of students, residents, clinical fellows, research fellows and peers; research training and mentorship; clinical teaching and mentorship; and administrative teaching leadership roles. Candidates will be evaluated on both the quantity and quality of their teaching activities, recognition for their roles as educators, and on their scholarship. Candidates must demonstrate scholarship, which may include: publication of original research, reviews and chapters;
educational material in print or other media such as syllabi, curricula, and Web-based training modules and courses; and/or educational methods, policy statements and assessment tools developed.

For more specific criteria by rank see sections 7, 8 and 9.

6.4. Evaluation for Teaching and Education

Given the centrality of the educational mission of HMS/HSDM, it is expected that all faculty members will engage in teaching at Harvard. Faculty are required to teach Harvard learners and/or peers a minimum of 50 hours a year as a requirement of their academic appointment. For these reasons, all candidates for appointments and promotions will be evaluated for their teaching contributions.

Teaching is defined broadly to include formal lectures as well as less formal supervision of Harvard-affiliated trainees and colleagues in the clinical or research settings. Faculty will be evaluated for contributions to teaching and educational activities at Harvard and its affiliated institutions. If this is the candidate's first faculty appointment at HMS/HSDM, teaching contributions at institutions where the candidate previously held a faculty position will also be assessed. The metrics below are for those faculty whose area of excellence is not Teaching and Educational Leadership. Teaching of HMS/HSDM medical, dental and graduate students will be particularly noted. For individuals who make exceptional contributions to the teaching mission but for whom Teaching and Educational Leadership is not the area of excellence, the significant supporting activity of Special Merit in Education may be appropriate, see section 6.5.5.

<table>
<thead>
<tr>
<th>Teaching may take the form of:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
</table>
| Didactic teaching of students, trainees and peers (e.g., lectures, continuing medical education courses, grand rounds, professional development programs, seminars, tutorials) | • Report level of activity (noting lectures and courses taught) and measure of quality (e.g., participant or peer evaluation); specifically note HMS/HSDM courses for graduate, dental and medical students  
• May note if candidate has devised innovative methods in classroom teaching and/or taught or lectured on issues related to education |
| Research training and mentorship (e.g., mentor for medical student, dental student, graduate student, resident, clinical or postdoctoral research fellow or junior faculty projects; service as graduate student thesis advisor or committee member) | • Number and stature of trainees upon whom the candidate had a major influence  
• Feedback from trainees, if available  
• Publications with trainees |
| Clinical teaching and mentorship (e.g., teaching in the clinic or hospital including bedside teaching, teaching in the operating room, preceptor in clinic) | • Level of activity  
• Quality of teaching as measured by evaluations by students, residents, fellows |
| Administrative teaching leadership role (e.g., residency or fellowship director, course or seminar director) | • Quality as measured by evaluations and success of courses/programs for which the candidate was a leader |

<table>
<thead>
<tr>
<th>Recognition*</th>
<th>Examples of Metrics</th>
</tr>
</thead>
</table>
|               | • Invited presentations in the field of expertise  
• Contributions to professional educational organizations  
• Leadership role in education  
• Service on education-related committees  
• Awards for teaching, mentoring or other education-related achievements |

<table>
<thead>
<tr>
<th>Scholarship*</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development of educational materials (e.g., syllabi or curricula) and/or publications related to education</td>
<td></td>
</tr>
</tbody>
</table>

* Since this is not the area of excellence, many faculty may not have recognition for teaching activities or educational scholarship.
6.5. **Guidelines for Selecting One or More Significant Supporting Activity (SSA)**

Many faculty make substantial contributions outside their area of excellence. These activities are often of outstanding quality and importance and are recognized by peers and leaders but are in domains in which the quantity of the candidate's contribution is less than in the area of excellence. These significant supporting activities (SSA) will supplement accomplishments in the area of excellence, allowing the sum total of an individual's achievements to be considered in the evaluation for promotion.

Contributions in five areas will be considered:

### 6.5.1. SSA: Administration and Institutional Service Metrics

<table>
<thead>
<tr>
<th>Activity</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Service as director of a division, program or clinic in an affiliated institution</td>
</tr>
<tr>
<td></td>
<td>• Service on committees such as the Institutional Review Board (IRB), quality improvement committee, physicians’ organization, trainee selection committees, or promotion/search committees</td>
</tr>
<tr>
<td></td>
<td>• Service on committees of the Faculty of Medicine such as admissions committees or Faculty Council</td>
</tr>
<tr>
<td></td>
<td>• Administrative management of a core laboratory or facility at Harvard or an affiliated institution</td>
</tr>
<tr>
<td></td>
<td>• Development of programs that create diversity by increasing the representation of women and minorities among our students, trainees or faculty</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Recognition</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Awards recognizing administrative contributions</td>
</tr>
<tr>
<td></td>
<td>• Appointment to administrative leadership roles</td>
</tr>
<tr>
<td></td>
<td>• Invitations to educate peers about administrative methods and practices</td>
</tr>
<tr>
<td></td>
<td>• Consultant to other organizations in area of administrative expertise</td>
</tr>
<tr>
<td></td>
<td>• Leadership roles in professional societies related to administrative role</td>
</tr>
<tr>
<td></td>
<td>• Appointment to regional and/or national committees related to administrative roles, such as committees on diversity in medicine/biomedical science, health policy, or human subjects</td>
</tr>
</tbody>
</table>

### 6.5.2. SSA: Clinical Expertise Metrics

<table>
<thead>
<tr>
<th>Activity</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Reputation as a clinical expert</td>
</tr>
<tr>
<td></td>
<td>• Leadership roles related to clinical expertise</td>
</tr>
<tr>
<td></td>
<td>• Role in development of innovative models of care delivery, approaches to treatment, or technology that contributes to high quality care</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Recognition</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Invitations to speak on issues related to area of clinical expertise</td>
</tr>
<tr>
<td></td>
<td>• Active role in professional organizations related to clinical expertise; may have a leadership role</td>
</tr>
<tr>
<td></td>
<td>• Service on committees developing guidelines and policies or evaluating programs in area of clinical expertise</td>
</tr>
<tr>
<td></td>
<td>• Editorial service as an ad hoc reviewer, editorial board member, or consultant for journals in area of clinical expertise</td>
</tr>
<tr>
<td></td>
<td>• Awards for contributions and/or innovation in the area of clinical expertise</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Scholarship</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Publication of original research, chapters, reviews, and/or textbooks related to area of clinical expertise</td>
</tr>
<tr>
<td></td>
<td>• Guidelines and/or protocols for clinical care</td>
</tr>
</tbody>
</table>
### 6.5.3. SSA: Education of Patients and Service to the Community Metrics

<table>
<thead>
<tr>
<th>Activity</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Development of material related to health conditions for use by patients</td>
</tr>
<tr>
<td></td>
<td>• Development of programs and material that improve health literacy and educate the public about biomedical sciences</td>
</tr>
<tr>
<td></td>
<td>• Writing for magazines, newspapers, health letters or websites on issues related to health</td>
</tr>
<tr>
<td></td>
<td>• Publication of books for the public that address important health issues</td>
</tr>
<tr>
<td></td>
<td>• Speaking to lay populations to educate them about important health issues</td>
</tr>
<tr>
<td></td>
<td>• Presenting information related to health through the media, including radio, television or podcasts</td>
</tr>
<tr>
<td></td>
<td>• Educating and mentoring pre-professional students in biomedical science</td>
</tr>
<tr>
<td></td>
<td>• Service to communities locally, nationally or abroad that improves the health of populations such as through improved delivery of care, provision of disaster/crisis relief or a decrease in health disparities</td>
</tr>
<tr>
<td>Recognition</td>
<td>• Awards recognizing contributions to patient and community education, access to care for underserved populations, community service, and/or the health of the public</td>
</tr>
<tr>
<td></td>
<td>• Invitations to speak to lay audiences on issues related to health</td>
</tr>
<tr>
<td></td>
<td>• Membership on the advisory boards of lay health-related organizations or government committees evaluating health-related issues</td>
</tr>
<tr>
<td></td>
<td>• Widespread use of patient education materials developed</td>
</tr>
</tbody>
</table>

### 6.5.4. SSA: Investigation Metrics

<table>
<thead>
<tr>
<th>Activity</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Defined role and/or independent conduct of research which may include:</td>
</tr>
<tr>
<td></td>
<td>• Basic research</td>
</tr>
<tr>
<td></td>
<td>• Clinical research and/or laboratory or clinically based translational research which may include studies of disease mechanisms, diagnostic techniques and/or other investigations that may contribute to the prevention, diagnosis or management of disease; may have a role in multidisciplinary or other collaborative research team; may enroll patients in clinical trials</td>
</tr>
<tr>
<td></td>
<td>• Quantitative and social science research such as epidemiology, outcomes and health services research, and biostatistics as well as research in social sciences, ethics, bioinformatics and health economics, among others; note intellectual contributions of the candidate to protocol development/implementation, conduct of studies, data collection and/or analysis of new or existing data; may make intellectual contributions to multicenter studies</td>
</tr>
<tr>
<td></td>
<td>• Development of new methods/technologies and/or novel applications of existing methods/technologies</td>
</tr>
<tr>
<td>Recognition</td>
<td>• Invitations to speak about research</td>
</tr>
<tr>
<td></td>
<td>• Funding to conduct research</td>
</tr>
<tr>
<td></td>
<td>• Editorial service as an ad hoc reviewer, editorial board member, or consultant for scientific journals</td>
</tr>
<tr>
<td></td>
<td>• Service on committees related to research such as the IRB, data safety monitoring boards or grant review panels</td>
</tr>
<tr>
<td></td>
<td>• Leadership role in professional societies including planning scientific sessions for meetings</td>
</tr>
<tr>
<td></td>
<td>• Awards for research and/or innovation</td>
</tr>
<tr>
<td></td>
<td>• Membership on steering committees, other study committees and/or writing groups of multicenter studies</td>
</tr>
<tr>
<td></td>
<td>• Invitations to participate as an investigator based on specific expertise</td>
</tr>
<tr>
<td>Scholarship</td>
<td>• Publication of original research that contributes new knowledge; may be first or senior author, in another authorship position, or member of an unnamed authorship group on publications of collaborative research to which the candidate has made documented, substantive intellectual contributions</td>
</tr>
</tbody>
</table>
6.5.5. SSA: Special Merit in Education Metrics

<table>
<thead>
<tr>
<th>Activity</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Course or clerkship director, Associate director</td>
</tr>
<tr>
<td></td>
<td>• Development of new curriculum, courses or electives</td>
</tr>
<tr>
<td></td>
<td>• Service on student, resident, or fellow selection committee</td>
</tr>
<tr>
<td></td>
<td>• Teaching in a variety of venues (e.g., teaching of students, residents, fellows)</td>
</tr>
<tr>
<td></td>
<td>• Service on governance and other critical committees and task forces supporting</td>
</tr>
<tr>
<td></td>
<td>education activities at Harvard</td>
</tr>
<tr>
<td></td>
<td>• Engaged in teaching well beyond the core expectation</td>
</tr>
<tr>
<td>Recognition</td>
<td>• Teaching awards</td>
</tr>
<tr>
<td></td>
<td>• Appointment to local teaching leadership roles</td>
</tr>
<tr>
<td></td>
<td>• Role in education arms of national societies</td>
</tr>
<tr>
<td></td>
<td>• Service on national education committees</td>
</tr>
<tr>
<td>Scholarship</td>
<td>• Publications related to education</td>
</tr>
<tr>
<td></td>
<td>• Professional educational materials</td>
</tr>
</tbody>
</table>

Additional Resources for Section 6: [http://www.fs.hms.harvard.edu/](http://www.fs.hms.harvard.edu/)

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
7. Promotion Process by Rank: Professor, Full-time
   As of July 2016

7.1. Financial Support for Professorships including Endowed Professorships

Professors without limit of time (WLT), of indefinite duration (OID), and of unspecified duration (OUD) differ as to the financial commitment of the University and the primary employer. A written communication from the primary employer should be transmitted to the Dean’s office and to the faculty member at the time of appointment to eliminate any ambiguity about the source and extent of financial obligation. Written commitments should make clear whether or not the Professorial appointment is WLT, OID or OUD.

For appointments without limit of time (WLT), the primary employer guarantees to the faculty member, academic salary and its Associated fringe benefits until the death, resignation or retirement of the faculty member from the full-time appointment, subject to the Third Statute of the University. As of June, 2016 the academic salary is $100,000. This guarantee may be backed by (a) University resources including endowments and other funds, or (b) commitments to the University from other institutions including affiliated institutions, government, and private foundations.

Even when there is a guarantee of support by the University (with or without the backing of another institution), salary support for Professors appointed without limit of time may come from several sources in addition to University or affiliated institution endowments, such as general funds, grants and contracts, and patient-care payments. The guarantor of the academic salary is only obligated to provide financial support if the faculty member’s support from all other sources falls below the academic salary level.

For appointments of indefinite duration (OID), the primary employer has no obligation to provide continuing support of the faculty member’s salary. Instead, the faculty member assumes responsibility for the stability of support. Appointments of indefinite duration will be made only when there is a high likelihood of the faculty member having ongoing stable support from a variety of sources, including affiliated institution endowments, general funds, grants and contracts, and patient-care payments. The University reserves the right to set a terminal date in the event that funds to support the appointment from sources outside the University are not available.

So long as funding remains available, the academic appointment will continue until the Professor’s death, resignation or retirement from the full-time appointment.

If funding becomes unavailable and the appointing Department Head does not wish to continue the academic appointment, the primary employer must provide one year’s notice of the end of the academic appointment and guarantee that the academic salary and Associated fringe benefits will continue during that year. The academic
salary and fringe benefits may come from several sources in addition to University or affiliated institution endowments, such as general funds, grants and contracts, and patient-care payments. The guarantor of the academic salary during the year of notice is only obligated to provide financial support if the faculty member’s support from all other sources falls below the academic salary level. Notification in writing must be sent to HMS and to the incumbent documenting the intention to terminate the appointment.

For appointments of unspecified duration (OUD), to the rank of Professor on the Part-time ladder, (i.e., Professor, Part-time) no commitment of continuous institutional support from the hospital or other affiliated institution is required or expected. Professors of unspecified duration (OUD) require reappointment by the department every five years, documenting continuing contributions to the Faculty of Medicine.

For endowed professorship appointments, the primary employer provides to the OFA a brief letter addressed to the Dean at the time of nomination. This letter, signed by the institutional CEO/President provides institutional approval for the nomination and states that the Dean may, with the advice of the primary employer's trustees, review the status of the endowed chair appointment no less often than every five years.

Financial guarantees for new endowed professorship incumbents at the rank of professor are linked to their professorial appointments, not their endowed chair appointments, i.e. the language is identical to the financial guarantees for professors without endowed professorship appointments. Endowed professorship incumbents may have WLT or OID status.

7.2. Metrics for Evaluation

The following flowchart describes the process of choosing an area of excellence and the other required attributes, such as Teaching and Education and Significant Supporting Activities (apply to all ranks) that form a customized profile. For more general information on the criteria for appointments and promotions, see section 6.

7.2.1. Professor, Clinical Expertise and Innovation

For promotion to Professor, the candidate must have a sustained national, and in many cases international, reputation as a leader and innovator in a clinical field. The candidate's expertise must be demonstrated through high-impact scholarship. The candidate must have a significant influence on practice in the clinical field nationally, and often internationally, as a result of his/her teaching, scholarship and innovation. For more general information on this area of excellence, see section 6.
In addition to distinguished service as an Associate Professor:

<table>
<thead>
<tr>
<th>Clinical Expertise may be defined as the following:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recognition as a clinical expert</td>
<td>National, and in many cases international, recognition as a clinical expert as evidenced by national, and in many cases international, leadership roles and reputation related to the clinical field</td>
</tr>
<tr>
<td>Influencing clinical practice</td>
<td>Development of innovative approaches to diagnosis or treatment, applications of technologies and/or models of care that influence care at a national, and in many cases international, level. Examples of activities (many others are possible) include:</td>
</tr>
<tr>
<td></td>
<td>• Having a critical role in defining a new field</td>
</tr>
<tr>
<td></td>
<td>• Developing innovative treatments, procedures, or technologies demonstrated to be superior to previous approaches</td>
</tr>
<tr>
<td></td>
<td>• Developing treatment protocols or practice guidelines that influence the standard of care</td>
</tr>
</tbody>
</table>

Recognition

- Visiting Professorships and invitations to speak nationally, and in many cases internationally, on issues related to area of clinical expertise
- Leadership roles in national, and in many cases international, professional organizations related to area of clinical expertise including leadership of national, and in many cases international, courses or programs
- Service as a consultant on issues related to area of clinical expertise
- Service on national, and in many cases international, committees developing guidelines and policies for management or evaluating programs in area of clinical expertise
- Editor of a journal in the area of clinical expertise
- Peer-reviewed funding to support innovations that influence clinical practice nationally, and in many cases, internationally
- National, and in many cases international, awards for contributions and/or innovation in the area of clinical expertise

Scholarship

- Publication of senior author original research, chapters, reviews, and/or textbooks related to area of clinical expertise that are widely recognized as influencing the field nationally, and in many cases, internationally
- Development of guidelines and/or protocols for patient treatment or delivery of care that are adopted nationally, and in some cases, internationally
- Publication of senior author manuscripts that demonstrate the impact of the candidate’s innovation on quality of care, clinical outcomes, and/or access to care

7.2.2. Professor, Investigation

For promotion to Professor, the candidate must have a sustained national, and in many cases international, reputation as one of the top researchers in the field. He/she must be the leader of an exceptional independent research program and/or have key leadership roles in collaborative studies. The candidate must have a longstanding record of exceptional scholarship, which most often includes senior authorship on high-impact publications of original research. The candidate may also have played a leadership role on, and made critical contributions to, publications of high-impact collaborative research. The candidate should have a sustained record of extramural funding, which most often will include principal investigator funding, and must have evidence of effective teaching and supervision as demonstrated by the number and stature of his/her trainees. For more general information on this area of excellence, see section 6.

In addition to distinguished service as an Associate Professor:

<table>
<thead>
<tr>
<th>Investigation</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigation</td>
<td>Sustained record of conducting exceptional research that has a major impact on the field and/or changes clinical practice; may include any or all of the following:</td>
</tr>
<tr>
<td></td>
<td>• Basic research</td>
</tr>
<tr>
<td></td>
<td>• Clinical research and/or laboratory or clinically based translational research which may include studies of disease mechanisms, diagnostic techniques and/or other investigations that provide fundamental insight into the prevention, diagnosis or management of disease; may lead an established multidisciplinary team and/or center that has created novel investigative approaches that have resulted in critical contributions to the field</td>
</tr>
<tr>
<td></td>
<td>• Quantitative or social science research such as epidemiology, outcomes and health services research, and biostatistics as well as research in social sciences, ethics,</td>
</tr>
</tbody>
</table>
bioinformatics and health economics, among others; outstanding record of leadership in design, conduct and analysis of studies; for multicenter studies, overall principal investigator, or one of a small number of key national leaders of studies

- Development of innovative methods/technologies and/or novel applications of existing methods/technologies that have been adopted by others in the field
- Sustained record of funding as principal investigator; may be funded by a combination of federal, investigator-initiated industry, and foundation grants; candidates who bring a unique expertise to a number of projects must have a sustained record of funding as a principal investigator or a co-investigator on multiple studies

### Recognition

- Invitations to speak nationally, and in many cases internationally, about research
- Sustained record of principal investigator peer-reviewed research funding
- Service as an editor and/or on editorial boards of scientific journals or as a consultant to journals in area of expertise
- Service on, and may have a leadership role on, national, and in many cases international, committees related to research including grant review panels such as NIH study sections, NIH advisory groups, FDA panels, data and safety monitoring boards for major multicenter trials
- Leadership role in planning sessions for major scientific societies nationally, and in many cases, internationally
- Prestigious national or international awards for research and/or innovations
- Overall principal investigator or one of a small number of key national leaders and/or holder of leadership roles on key committees and writing groups of national, and in many cases international, multicenter studies
- Adoption by others in the field of novel methods/technologies

### Scholarship

- Senior authorship on studies of exceptional, original and innovative research which has had a major impact on the field
- Continuing record of publication from multidisciplinary research that has had a major impact on the field and/or changed clinical practice; candidate may be first or senior author, in another authorship position, or part of an unnamed authorship group, but should have served as the senior author on a substantial number of manuscripts from the study
- Publication of senior author original work describing novel methods/technologies that advance the field; may be published in journals of the primary discipline (e.g., statistics) or the field in which the expertise is applied (e.g., cardiology)

### 7.2.3. Professor, Teaching and Educational Leadership

For promotion to Professor, the candidate must demonstrate a sustained national, and in some cases international, reputation as an educational leader and innovator, and must be considered to be among the best in the country in the development of educational methods, curricula, policy and/or assessment tools, or in the conduct of educational research. The candidate’s expertise must be demonstrated through high-impact scholarship that influences the field nationally and in some cases internationally. For more general information on this area of excellence, see section 6.

In addition to distinguished service as an Associate Professor:

<table>
<thead>
<tr>
<th>Teaching may be defined as the following:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Didactic teaching of students, trainees and peers</strong> (e.g., lectures, continuing medical education courses, grand rounds, professional development programs, seminars, tutorials)</td>
<td></td>
</tr>
</tbody>
</table>
- Innovation in classroom teaching methods with adoption nationally, and in some cases, internationally
- Teaching/lecturing nationally and, in some cases, internationally, about issues related to education  |
| **Research training and mentorship** (e.g., mentor for medical student, dental student, graduate student, resident, clinical or postdoctoral research fellow or junior faculty projects; service as graduate student thesis advisor or committee member) |  
- Number and stature of trainees upon whom the candidate had a major influence; stature may be assessed by the trainees’ academic rank, leadership positions, impact on the field and prestigious awards
- Publications with trainees
- Feedback from trainees, if available  |
| **Clinical teaching and mentorship** (e.g., teaching in the clinic or hospital including) |  
- Development of innovative clinical teaching methods that are adopted and have an impact nationally, and in some cases, internationally  |
### Administrative teaching leadership role
(e.g., residency or fellowship director, course or seminar director)

- Increasing and sustained national and, in some cases, international, leadership roles related to education in a professional society
- National replication of courses developed by the candidate
- Adoption nationally of innovative programs developed by the candidate that result in the attraction of competitive candidates and/or enhancement of diversity by increasing the representation of women and minorities

### Recognition

- Visiting Professorships and invitations to speak nationally, and in some cases internationally, on issues related to education
- Leadership of national, and in some cases international, courses related to education
- Serving as a consultant nationally, and in some cases internationally, on issues related to development of educational programs or on educational methods, policy or assessment
- Service on national, and in some cases international, committees developing guidelines and policies for education/training programs
- Service on national, and in some cases international, committees evaluating education/training programs or reviewing grant proposals related to education
- Funding to conduct educational research or to develop educational materials, methods, assessment tools or programs
- Editor of an educational journal
- National and/or international awards related to education or educational scholarship

### Scholarship

- Publication as author or editor of a major textbook on education
- Development of innovative educational methods/materials in print or other media that are widely adopted and influence education nationally, and in some cases, internationally
- Publication of senior author high impact research related to educational methods, assessment and/or policy that influence the field nationally, and in some cases, internationally

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### 7.2.4. Teaching and Education

Please refer to section 6.4 for metrics.

### 7.2.5. Significant Supporting Activities

Please refer to section 6.5 for metrics.

### 7.3. Procedures for Promotion (Internal Evaluation) to Professor

All faculty members, regardless of their status as full-time or part-time, are evaluated by the same criteria for promotion.

**Initiating the Promotion Process**

Institutional and departmental review processes incorporate an evaluation of the candidate’s Faculty of Medicine CV and assessment as to whether the academic criteria for promotion appear to be met. For more information on criteria, see section 6. For those candidates appointed in the Basic and Social Sciences, review for promotion to Professor takes place by the 11th year after appointment to the voting faculty; see section 16 for policy and exceptions. In addition to approval by the department leadership for advancing to a promotion review, the Preclinical Chairs (PCC) must approve candidates appointed in the Basic Science Departments and the Social Science Council (SSC) must approve those appointed in the Departments of Global Health and Social Medicine and Health Care Policy. Candidates in the Department of Biomedical Informatics may be reviewed by the PCC or SSC, depending on their particular expertise.
For faculty members in all other HSDM and Clinical departments, there is no required time by which a promotion must be considered. After the Department Head recommends moving forward to review for promotion to Professor, the candidate’s profile is brought to the appropriate departmental executive committee for review and approval.

Faculty members are encouraged to discuss periodically their eligibility for promotion with appropriate department leaders such as mentors, division heads and/or Department Heads. For each candidate, the following factors will be considered in making a decision as to when a promotion can be advanced:

- Substantial academic accomplishment since the candidate’s appointment as Associate Professor
- High impact scholarship that has advanced the candidate’s field
- Evidence of a national, and often international, independent reputation in the Area of Excellence.
- Meaningful contributions to teaching at Harvard and its affiliated institutions
- A track record of successful mentorship of trainees
- When applicable, evidence of accomplishments in Significant Supporting Activities
- Service and/or administrative leadership within a candidate’s department, affiliated institution, or the larger Harvard community
- Adherence to HMS/HSDM policies supporting the highest level of integrity and professionalism

If the appropriate executive committee agrees to proceed with recommending review for promotion to Professor, the Department Head prepares and submits to the OFA the required dossier that begins the promotional process at HMS. At any time in the process, the OFA may seek confidential consultation from the Council of Academic Deans, Preclinical Chairs, or Social Science Council (whichever is appropriate to the candidate) regarding the proposed promotion.
Governance, Appointment and Promotion Handbook

**Process Flowchart At-A-Glance for Promotion to Professor**

**Step 1**  
Department  
Department assesses candidate's qualifications for promotion

**Step 2**  
Department  
Department Head proposes candidate to executive committee, Preclinical Chairs (PCC) or Social Science Council (SSC)

**Step 3**  
Department  
Department Head submits materials to the OFA

**Step 4**  
Office for Faculty Affairs  
OFA initiates promotion process at Harvard Medical School (HMS)

**Step 5**  
Office for Faculty Affairs  
OFA solicits letters of evaluation

**Step 6**  
Department  
Department leadership reviews dossier

**Step 7**  
Office for Faculty Affairs  
Senior Appointments Committee reviews dossier

**Step 8**  
Office for Faculty Affairs  
Dean's Office appoints ad hoc committee

**Step 9**  
Office for Faculty Affairs  
Ad hoc committee meets to review dossier

**Step 10**  
Office for Faculty Affairs  
Subcommittee of Professors reviews dossier

**Step 11**  
Office for Faculty Affairs  
Dean makes a recommendation to the University

**Step 12**  
University  
University renders a decision

**Step 13**  
Office for Faculty Affairs  
OFA notifies Department Head and candidate of outcome
## Detailed Process for Promotion to Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</table>
| 1.   | Department assesses candidate’s qualifications for promotion  
• The process begins with a meeting of the Department Head (or designee such as a mentor or division chief) and the candidate, ideally as part of the annual career conference, to discuss the process and review the candidate’s Faculty of Medicine CV and bibliography in consideration of the academic criteria for promotion to Professor.  
• Academic Department Heads are the only individuals who can propose candidates for promotion to Professor.  
• Candidate prepares CV and annotated list of 10 best scholarly works in the required FoM format.  
• Department Head determines readiness for promotion and develops a rationale for advancement in the candidate’s Area of Excellence, see section 6. Significant Supporting activities, as appropriate, are noted as well. |
| 2.   | Department Head proposes candidate to executive committee, Preclinical Chairs (PCC) or Social Science Council (SSC)  
• The Department Head prepares a letter of nomination recommending the candidate for promotion  
• The Department Head proposes the candidate to the department executive committee, or in the case of the basic science preclinical faculty, to the Preclinical Chairs (PCC), or, in the case of the social science preclinical faculty, to the Social Science Council (SSC).  
• The members of these committees provide feedback to the Department Head on the proposed candidate and may recommend that the Department Head obtain additional information, delay consideration pending achievement of additional academic accomplishments by the candidate, or recommend moving forward with the promotion review.  
• These committees evaluate and approve the “recommended reviewers lists” of comparands, external letter writers, internal letter writers and ad hoc committee members. See step 5 below for specific requirements for letters.  
• The executive committee makes a formal recommendation in writing to the Dean of the Faculty of Medicine supporting the candidate’s promotion. If there is any dissent or abstention, the letter to the Dean includes the reasons for either dissents or abstentions. |
| 3.   | Department Head submits materials to the OFA  
The Department Head submits the following materials by email to the OFA account ([Professorial.materials@hms.harvard.edu](mailto:Professorial.materials@hms.harvard.edu)):  
• Letter of nomination that outlines the candidate’s accomplishments and contributions, attests to the candidate’s integrity, and establishes the case for promotion.  
• For candidates in Basic and Social Science departments, documentation of approval by the Preclinical Chairs (PCC) or Social Science Council (SSC).  
• For candidates in clinical departments, documentation of approval by the appropriate HMS/HSDM Departmental Executive Committee.  
• Candidate’s CV in the FoM format  
• Annotated summary of candidate’s ten most significant scholarly works  
• PDF’s of the ten selected scholarly works. If scholarly works are not in electronic format, contact the OFA at ([Professorial.materials@hms.harvard.edu](mailto:Professorial.materials@hms.harvard.edu)) to arrange for alternative submission.  
• A recommended reviewers list from the department, approved by PCC/SSC or appropriate HMS/HSDM Executive Committee, outlining suggestions for letter writers, comparands and ad hoc committee members. This list must be submitted on the appropriate original excel template. |
| 4.   | OFA initiates promotion process at Harvard Medical School (HMS)  
Upon receipt of the candidate’s materials, OFA will:  
• Provide access to a confidential website for tracking the status of the promotion available only to the candidate, the Department Head and the department promotion administrators for tracking the status of the promotion.  
• Send an email to the candidate, with a copy to the Department Head to alert them that the materials have been received, the HMS evaluation process has started, and the website is available.  
• Request modifications or additions as needed from the department. |
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</table>
| 5. | **OFA solicits letters of evaluation** | After sharing the final list of evaluators with the Department Head, the OFA solicits letters by email. The OFA contacts letter writers regularly to follow up on requests. Letters will be solicited from the following:
- Minimum of 12 leaders (generally full Professors) in the candidate’s field whose appointments are outside Harvard. These evaluators, at least half of whom should not be colleagues or collaborators, will be asked to compare the candidate to 3-5 Professors in the field who are typically at a similar stage of their careers as the candidate (i.e. promoted to Professor within the past five years) and who are not appointed at Harvard.
- Six Professors at Harvard who are not appointed in the candidate’s local department but who are familiar with the candidate’s field, and often his/her achievements in other relevant areas (administrative service, teaching, and perhaps other significant supporting activities).
- In some cases, additional letters may be solicited if the initial pool of letter writers does not yield sufficient information. |
| 6. | **Department leadership reviews dossier** | Once the letters of evaluation are received, the OFA prepares a confidential dossier that is shared with the candidate’s Department Head. For Basic and Social Science departments, the Department Head may ask all full Professors in the department to review the letters.
- After receiving the candidate’s dossier, the department leadership makes a recommendation to the Dean regarding whether to move forward with formation of an ad hoc committee. Approval by the Department Head is an absolute requirement before a case advances to an ad hoc committee.
- The Department Head has an opportunity to revise and update the original nominating letter to incorporate information from or address issues raised in the letters of evaluation, and/or to submit the candidate’s most recent Faculty of Medicine CV. |
| 7. | **Senior Appointments Committee reviews dossier** | In clinical departments based at HMS/HSDM institutions that have Senior Appointments Committees, those committees will evaluate the dossier and make a recommendation to the Dean as to whether they support moving forward with formation of an ad hoc committee.
- For institutions that do not have senior appointment committees, the Council of Academic Deans will serve as the Senior Appointments Committee.
- For faculty in the Basic and Social Science departments, the dossiers are reviewed by either the Preclinical Chairs or the Social Science Council, depending on the candidate’s discipline.
- Approval by the Senior Appointments Committee is an absolute requirement before a case advances to an ad hoc committee. |
### 8. Dean’s office appoints ad hoc committee

Incorporating recommendations from the Department and Senior Appointments Committees, HMS appoints an ad hoc committee to review all evidence assembled and to make a recommendation to the Dean. The ad hoc committee typically consists of the following members, none of whom may be close colleagues or collaborators:

- Chair, who is a Professor at HMS and a member of the Subcommittee of Professors.
- Two additional members of the senior faculty at Harvard, not from the candidate’s home institution or department, who have not already provided letters of evaluation or participated in assessment of the candidate up to this point.
- Three Professors from institutions other than Harvard who are experts in the candidate’s field and have not already provided letters of evaluation.
- Professors in the candidate’s department have the opportunity to provide confidential comments by email to the Dean. This confidential commentary will not be shared with department leadership, the candidate, the ad hoc committee or the SOP. Any general concerns raised in these emails may be discussed, without attribution to their origin, with faculty and leaders involved in the promotion decision as appropriate.

### 9. Ad hoc committee meets to review dossier

Generally the ad hoc committee meets in a single session unless the committee requests additional information. All proceedings of the ad hoc committee are confidential.

- The committee reviews the dossier to determine the candidate’s achievements in the Area of Excellence, including evidence of impact on the field and of a national and often international reputation. The committee also evaluates the teaching and training activities, service, and any other supporting activities described in the Professorial dossier.
- The Department Head or department vice chair is invited to testify along with other leaders in the field whom the ad hoc committee chair believes will be in a position to provide helpful commentary to the committee.
- Following all testimony, the committee meets in executive session to review the qualifications for promotion. If the ad hoc committee requires additional evidence before reaching a conclusion, the committee is empowered to request that such additional data (e.g., additional letters of evaluation) be solicited by the OFA.
- At the conclusion of the meeting, the members will vote on the proposal.
- If the ad hoc committee findings are unfavorable, the Department Head may withdraw the candidate’s application.
- The chair of the ad hoc committee prepares a report summarizing the deliberations and presents the findings to the Dean and the SOP.

### 10. Subcommittee of Professors reviews dossier

The SOP meets monthly except for August. At the meeting:

- The ad hoc committee chair presents the candidate to the SOP.
- A second member of the committee reviews the dossier and reports to the SOP.
- The entire SOP discusses the strengths and weaknesses of the case.
- Members of the SOP provide individual, confidential feedback and vote on the nomination.

### 11. Dean makes a recommendation to the University

- The Dean of the Faculty of Medicine reviews all recommendations from the SOP.
- The Dean submits a recommendation, positive or negative, to the University.
- No decision is final until the University review is complete.

### 12. University renders a decision

- The University reviews and renders a decision regarding the proposed appointment for each candidate.
- A final decision is communicated to the Dean and OFA.

### 13. OFA notifies Department Head and candidate of outcome

- The Dean’s office informs the Department Head.
- Formal letters from the Dean and the University are sent directly to successful candidates at the conclusion of the process.
7.3.1. Renewal Process for Professors, Part-time

Professor, Part-time appointments are reviewed every 5 years. The reappointment process includes an assessment of the level of productivity, the quality of contributions and the teaching activities of the incumbent. These reappointments are linked to the term faculty reappointment process.

Process Flowchart At-A-Glance for Renewal for Professor, Part-time

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head initiates faculty title reappointment</td>
</tr>
<tr>
<td>2.</td>
<td>OFA processes change</td>
</tr>
<tr>
<td>3.</td>
<td>University renders a decision</td>
</tr>
<tr>
<td>4.</td>
<td>OFA notifies Department Head, CEO/President, and incumbent of the outcome</td>
</tr>
</tbody>
</table>

Detailed Process for Renewal for Professors, Part-time

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head initiates faculty title reappointment</td>
</tr>
<tr>
<td></td>
<td>The documentation required for reappointment of term faculty is:</td>
</tr>
<tr>
<td></td>
<td>- Department Head letter (you may use the new Term Reappointment Template) summarizing the appointee's accomplishments during the past term to include:</td>
</tr>
<tr>
<td></td>
<td>- Name of faculty mentor and date of last annual conference</td>
</tr>
<tr>
<td></td>
<td>- An assessment of the level of productivity, the quality of the contributions, and the teaching activities</td>
</tr>
<tr>
<td></td>
<td>- A statement describing the source of funds to support the reappointment.</td>
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<tr>
<td></td>
<td>- A statement of integrity</td>
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<tr>
<td></td>
<td>- Note: Professor reappointment packets must also include 3 letters of support from individuals inside Harvard and 3 letters of support from external sources.</td>
</tr>
<tr>
<td></td>
<td>- CV &amp; Bibliography in FoM format</td>
</tr>
<tr>
<td>2.</td>
<td>OFA processes change</td>
</tr>
<tr>
<td></td>
<td>- OFA submits change in title to the University</td>
</tr>
<tr>
<td>3.</td>
<td>University renders a decision</td>
</tr>
<tr>
<td></td>
<td>- The University reviews and renders a decision regarding the proposed appointment for each candidate</td>
</tr>
<tr>
<td></td>
<td>- A final decision is communicated to the Dean’s office</td>
</tr>
<tr>
<td>4.</td>
<td>OFA notifies Department Head and candidate of outcome</td>
</tr>
<tr>
<td></td>
<td>- OFA informs the Department Head via email</td>
</tr>
</tbody>
</table>

7.4. Procedure for Appointment as Professor in Residence

The title Professor in Residence is used to appoint a small number of senior individuals recruited to the Professorial ranks for a limited period of time. The intended use of this title is to appoint senior scholars who fulfill the following requirements:
• Fulfill a well-defined but potentially time-limited programmatic or administrative need;
• Have the capacity to make significant contributions to the Faculty of Medicine throughout the term of their appointment;
• Have had a considerable impact on their field, including demonstrated excellence in research and teaching.

Ordinarily, individuals considered for this type of appointment will have held a full Professorial appointment at a peer institution.

This is a non-tenure title with a term limit of five years, which may be renewed for a second, five year term, following the procedures outlined below.
Process Flowchart At-A-Glance for Appointment to Professor in Residence

Step 1
University
University authorizes term-limited position

Step 2
Department
Department Head proposes candidate to Executive Committee/PCC/SSC

Step 3
Department
Department head submits materials to OFA

Step 4
Office for Faculty Affairs
OFA initiates appointment process at HMS

Step 5
Office for Faculty Affairs
OFA solicits letters of evaluation

Step 6
Office for Faculty Affairs
Department leadership reviews dossier

Step 7
Office for Faculty Affairs
Senior Appointments Committee reviews dossier

Step 8
Office for Faculty Affairs
Council of Academic Deans or Dean reviews dossier

Step 9
Office for Faculty Affairs
Subcommittee of Professors reviews dossier

Step 10
Office for Faculty Affairs
Dean makes a recommendation to the University

Step 11
University
University renders a decision

Step 12
Office for Faculty Affairs
OFA notifies department head and candidate of outcome
<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong></td>
<td>University authorizes term-limited position</td>
</tr>
<tr>
<td></td>
<td>- Department Head writes letter to the Dean requesting a term-limited position, specific candidates are not mentioned</td>
</tr>
<tr>
<td></td>
<td>- If department has a specific candidate in mind, their CV should be obtained (not needed in FoM format at this point)</td>
</tr>
<tr>
<td></td>
<td>- Department submits letter and CV (if applicable) to <a href="mailto:Professorial.materials@hms.harvard.edu">Professorial.materials@hms.harvard.edu</a></td>
</tr>
<tr>
<td></td>
<td>- The Dean reviews the request and if approved, requests authorization for the temporary position from the University</td>
</tr>
<tr>
<td></td>
<td>- Provost reviews the request, renders a decision, and informs the Dean and OFA</td>
</tr>
<tr>
<td></td>
<td>- OFA informs Department Head of the outcome</td>
</tr>
<tr>
<td></td>
<td>- If a term-limited position is authorized, the nomination process may begin</td>
</tr>
<tr>
<td><strong>2.</strong></td>
<td>Department Head proposes candidate to Executive Committee/PCC/SSC</td>
</tr>
<tr>
<td></td>
<td>- Department Head may identify a candidate to fill the position through an open search process (see section 5) or may select a targeted individual to fill the position</td>
</tr>
<tr>
<td></td>
<td>- The Department Head prepares a letter of nomination recommending the candidate for appointment to the authorized position</td>
</tr>
<tr>
<td></td>
<td>- The Department Head proposes the candidate to the department executive committee, or in the case of the basic science preclinical faculty, to the PCC, or in the case of the social science preclinical faculty, to the SSC</td>
</tr>
<tr>
<td></td>
<td>- The members of these committees provide feedback to the Department Head on the proposed candidate and may recommend that the Department Head obtain additional information, deny consideration due to insufficient academic accomplishment, or recommend moving forward with the appointment review</td>
</tr>
<tr>
<td></td>
<td>- These committees evaluate and approve the “recommended reviewers list” of comparands and letter writers. See step 5 below for specific requirements for letters.</td>
</tr>
<tr>
<td></td>
<td>- The executive committee makes a formal recommendation in writing to the Dean supporting the candidate’s appointment to the authorized position. If there is any dissent or abstention, this letter includes that information and explains the underlying reasons.</td>
</tr>
<tr>
<td><strong>3.</strong></td>
<td>Department Head submits materials to OFA</td>
</tr>
<tr>
<td></td>
<td>- The Department Head submits the following materials by email to the OFA account <a href="mailto:Professorial.materials@hms.harvard.edu">Professorial.materials@hms.harvard.edu</a>:</td>
</tr>
<tr>
<td></td>
<td>- Letter of nomination that outlines the candidate’s accomplishments and ability to meet the department’s term-limited need for senior leadership in a particular area, attests to the candidate’s integrity, and establishes the case for appointment</td>
</tr>
<tr>
<td></td>
<td>- For candidates in basic or social science departments, documentation of approval by PCC or SSC</td>
</tr>
<tr>
<td></td>
<td>- For candidates in clinical departments, documentation of approval by the appropriate HMS/HSDM Executive Committee</td>
</tr>
<tr>
<td></td>
<td>- Candidate’s CV in FoM format</td>
</tr>
<tr>
<td></td>
<td>- Annotated summary of the candidate’s 10 best scholarly works</td>
</tr>
<tr>
<td></td>
<td>- A recommended reviewers list from the department approved by PCC/SSC or appropriate HMS/HSDM Executive Committee outlining suggestions for letter writers and comparands. This list must be submitted on the appropriate original Excel template.</td>
</tr>
<tr>
<td><strong>4.</strong></td>
<td>OFA initiates appointment process at HMS</td>
</tr>
<tr>
<td></td>
<td>- Upon receipt of the candidate’s materials, the OFA will do the following:</td>
</tr>
<tr>
<td></td>
<td>- Request modifications or additions as needed from the department</td>
</tr>
<tr>
<td></td>
<td>- Review the recommended reviewers list submitted by the Department Head. Identify advisor(s) from inside or outside Harvard to assist the Dean’s office regarding the appropriateness and completeness of the lists. Once that review is complete, a final list is proposed to the department.</td>
</tr>
<tr>
<td><strong>5.</strong></td>
<td>OFA solicits letters of evaluation</td>
</tr>
<tr>
<td></td>
<td>- After sharing the final list of evaluators with the Department Head, the OFA solicits letters by email. The OFA contacts letter writers regularly to follow up on requests. Letters will be solicited from the following:</td>
</tr>
<tr>
<td></td>
<td>- Minimum of 12 leaders (full Professors or their equivalent) in the candidate’s field. One leader may be from the candidate’s prior institution.</td>
</tr>
</tbody>
</table>
- One or two letters may be obtained from Harvard Professors.
- In some cases, additional letters may be solicited if the initial pool of letter writers does not yield sufficient information.

### 6. Department leadership reviews dossier
- Once the letters of evaluation are received, the OFA prepares a confidential dossier that is shared with the candidate’s Department Head. For Basic and Social Science departments, the Department Head may ask all full Professors in the department to review the letters.
- After receiving the candidate’s dossier, the department leadership makes a recommendation to the Dean regarding whether to move forward with the appointment.
- The Department Head has an opportunity to revise and update the original nominating letter to incorporate information from or address issues raised in the letters of evaluation, and/or to submit the candidate’s most recent Faculty of Medicine CV.

### 7. Senior Appointments Committee reviews dossier
- For candidates appointed through clinical departments at institutions that have Senior Appointments Committees, those committees evaluate the dossier and make a recommendation to the Dean as to whether they support the appointment.
- For candidates appointed through clinical departments at institutions that do not have Senior Appointments Committees, the Council of Academic Deans serves in that role.
- For faculty in the Basic and Social Science departments, the dossiers are reviewed by PCC or SSC, depending on the candidate’s discipline.
- Approval by a Senior Appointments Committee is absolutely required for a candidate to advance to the next step.

### 8. Council of Academic Deans or Dean reviews dossier
- CAD reviews all candidates appointed through clinical departments. If the dossier is approved by CAD, the recommendation is forwarded to SOP.
- Dossiers for candidates in the Basic and Social Science departments who have been approved by PCC or SSC are reviewed by the Dean.

### 9. Subcommittee of Professors reviews dossier
- SOP meets monthly, except for August. At the meeting:
  - A member of SOP is assigned as the primary reviewer.
  - The Department Head or designee attends the meeting to answer questions regarding the candidate.
  - The entire SOP discusses the strengths and weaknesses of the case.
  - Members of the SOP provide individual, confidential feedback and vote on the nomination.

### 10. Dean makes a recommendation to the University
- The Dean of the Faculty of Medicine reviews all recommendations from the SOP.
- Dean submits a recommendation, positive or negative, to the University.
- No decision is final until the University review is complete.

### 11. University renders a decision
- The University reviews the proposed appointment and renders a decision regarding the proposed appointment for each candidate.
- A final decision is communicated to the Dean and OFA.

### 12. OFA notifies Department Head and candidate of outcome
- OFA informs the Department Head via email.
- Formal letters from the Dean and the University are sent directly to successful candidates at the conclusion of the process.

### 7.4.1. Renewal Process for Professors in Residence

Renewal decisions will follow the same procedures as the original appointment, requiring a reauthorization of the position before evaluation of the merits of the incumbent through comparative letters of evaluation.

Generally, a renewal of a position will only be granted a second term for a maximum of five years. If there is interest in continuing a faculty appointment beyond a second term either the candidate’s title will be converted to Senior Lecturer or be evaluated for appointment as Professor. The incumbent may be proposed for a full Professorial position at any time during appointment as Professor in Residence, if a search has been completed. The usual evaluation process for appointment as Professor in the Faculty of Medicine will be followed, see section 7.3.
### Detailed Process for Renewal as Professor in Residence

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Department Head initiates faculty title change</td>
<td>- Department Head writes letter to the Dean, sent to the Office for Faculty Affairs (OFA), of the intention of a faculty member</td>
</tr>
<tr>
<td>2. OFA processes change</td>
<td>- OFA submits change in title to the University</td>
</tr>
</tbody>
</table>
| 3. University renders a decision | - The University reviews and renders a decision regarding the proposed appointment for each candidate  
- A final decision is communicated to the Dean’s office |
| 4. OFA notifies Department Head and candidate of outcome | - OFA informs the Department Head via email |
7.5. Procedures for Appointment as Endowed Professor

The highest honor Harvard Medical School (HMS) can bestow on a faculty member is an appointment to an Endowed Professorship. Endowed Professorships recognize extraordinary clinicians, researchers and educators who serve as faculty at HMS or one of its affiliated institutions. Endowed Professorships stand in perpetuity, generating invaluable support for incumbents, their institutions and HMS, while building a history of remarkable scholarship and leadership under one name. New Professorships are formally celebrated at HMS, often at the time the first incumbent is appointed.

The Harvard School of Dental Medicine (HSDM) also bestows Endowed Professorships. The funding, term creation and incumbent nominations are managed independently at HSDM.

Incumbents to HMS Endowed Professorships must be either full Professors or Associate Professors. At appropriate intervals, typically no less often than every five years, the Dean of the Faculty of Medicine may, with the advice of the trustees of the affiliate institution, review the status of appointments to endowed chairs.

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**Process Flowchart At-A-Glance for Appointment as Endowed Professor**

1. **Department**
   - Department Head or CEO/President nominates incumbent

2. **Office for Faculty Affairs**
   - OFA reviews nomination and submits Dean’s recommendation to University

3. **University**
   - University reviews recommendation and renders a decision

4. **Office for Faculty Affairs**
   - OFA notifies Department Head, CEO/President, and incumbent of the outcome

**Detailed Process for Appointment as Endowed Professor**

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | **Department Head or CEO/President nominates incumbent**  
  - Department Head or CEO/President submits the following materials to endowedprof@hms.harvard.edu:  
    - Nomination letter to the Dean describing the proposed incumbent’s background, accomplishments, and appropriate for the Endowed Professorship based on the donor’s intentions, as outlined in the Professorship terms  
    - Proposed incumbent’s current CV |
| 2.   | **OFA reviews nomination and submits Dean’s recommendation to University**  
  - OFA reviews proposal and confirms the following information:  
    - Existing Professorship is vacant or current incumbent will transition to distinguished or Emeritus/Emerita status  
    - New Professorship has been activated through a minimum funding level determined by the University  
    - Nominated incumbent’s qualifications are consistent with Professorship terms and warrant the distinction of being appointed to a named Professorship |
### 7.6. Procedure for Appointment as Endowed Distinguished Professor

When a Department Head or other administrative leader who holds an Endowed Professorship reduces their administrative or leadership role, but continues their faculty appointment, the faculty member may retain the endowed title or the title may be modified by the term ‘Distinguished.’ The decision regarding a transition to ‘Distinguished’ status is made in consultation with the appointing Department Head and/or hospital CEO/President and may be governed by the terms of the Professorship (i.e., the Professorship may only be available to the individual holding the administrative role). Typically the transition to the ‘Distinguished’ designation indicates that the faculty member, unless agreed to by arrangement with hospital leadership, will no longer receive financial resources from the Professorship. Once an incumbent has transitioned to “Distinguished” status, a new primary incumbent may be nominated by the Department Head or CEO/President.

When an incumbent transitions to “Distinguished” status, his/her named title is modified by adding “Distinguished” immediately prior to the word Professor. In a fictitious example, the Gray Professor of Radiology would become the Gray Distinguished Professor of Radiology.

#### Process Flowchart At-A-Glance for Appointment as Endowed Distinguished Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Department</th>
<th>Office for Faculty Affairs</th>
<th>University</th>
<th>University</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Department</td>
<td>OFA</td>
<td>University</td>
<td>OFA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>OFA reviews request and submits Dean’s recommendation to University</td>
<td>University</td>
<td>OFA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>University reviews recommendation and renders a decision</td>
<td>University</td>
<td>OFA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>OFA notifies Department head, CEO/President, and incumbent of the outcome</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Detailed Process for Appointment as Endowed Distinguished Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head or CEO/President requests transition to distinguished status</td>
</tr>
</tbody>
</table>
|      | Department Head or CEO/President submits the following document to endowedprof@hms.harvard.edu:  
|      | - Letter to the Dean requesting the transition to distinguished status and confirming that the incumbent has been informed of the intended change in status  
|      | - Request may be embedded into the nominating letter for the next incumbent if the Department Head or CEO/President desires simultaneous transitions |
| 2.   | OFA reviews request and submits Dean’s recommendation to University |
| 3.   | University reviews recommendation and renders a decision |
| 4.   | OFA notifies Department Head, CEO/President, and incumbent of the outcome |
|      | • OFA informs the Department Head and CEO/President via email  
|      | • Formal letters from the Dean and University are sent directly to candidate at the conclusion of the process |

7.7. Procedure for Appointment as Endowed Emeritus/Emerita Professor

Endowed Professorship incumbents who have completed at least 10 years of service to Harvard University, reached the age of 60, and hold full-time appointments at the rank of Professor may transition to Endowed Emeritus or Endowed Emerita status at the time of retirement from their full-time faculty role. Endowed Emeritus/a Professors hold active appointments and, to the extent that they and their Department Heads wish, continue to participate in the academic life of the community. The only explicit limitations for Emeritus/a faculty is that they may not participate in promotion decisions and they generally may not oversee graduate students. When an incumbent transitions to emeritus/a status, the title is modified by adding Emeritus/a at the end. In a fictitious example, the Gray Professor of Radiology or the Gray Distinguished Professor of Radiology would become the Gray Professor of Radiology, Emeritus/a.

Process Flowchart At-A-Glance for Appointment as Endowed Emeritus/Emerita Professor

Step 1  
Department  
Department head or CEO/President requests transition to Emeritus/Emerita status

Step 2  
Office for Faculty Affairs  
OFA reviews request and submits Dean’s recommendation to University

Step 3  
University  
University reviews recommendation and renders a decision

Step 4  
University  
OFA notifies Department head, CEO/President, and incumbent of the outcome
Detailed Process for Appointment as Endowed Emeritus/Emerita Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | Department Head or CEO/President requests transition to Emeritus/Emerita status. Department Head or CEO/President submits the following document to endowedprof@hms.harvard.edu:  
  - Letter to the Dean requesting the transition to emeritus/a status and confirming that the incumbent has been informed of the intended change in status  
  - Request may be embedded into the nominating letter for the next incumbent if the Department Head or CEO/President desires simultaneous transitions |
| 2.   | OFA reviews request and submits Dean’s recommendation to University. OFA submits Dean’s recommendation for a change in title to the University. |
| 3.   | University reviews recommendation and renders a decision. The University reviews the Dean’s recommendation, renders a decision, and informs the Dean and OFA. |
| 4.   | OFA notifies Department Head, CEO/President, and incumbent of the outcome.  
  - OFA informs the Department Head and CEO/President via email  
  - Formal letters from the Dean and University are sent directly to candidate at the conclusion of the process |

7.8. Procedure for Appointment as Professor Emeritus/Emerita

Faculty who have completed at least 10 years of service to Harvard University, have reached the age of 60, and who have been appointed full-time Professor, including Endowed Professors (see above), may be appointed Professor Emeritus/a at the time of retirement from their full-time faculty role. Emeritus/a Professors hold active appointments and, to the extent that they and their Department Heads wish, continue to participate in the academic life of the community. The only explicit limitations for Emeritus/a faculty is that they may not participate in promotion decisions and they generally may not oversee graduate students. When an incumbent transitions to Emeritus/Emerita status, the title is modified by adding Emeritus/a to the end of the title. In a fictitious example, the Professor of Genetics would become Professor of Genetics, Emerita.
### Detailed Process for Appointment as Professor Emeritus/Emerita

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head initiates faculty title change&lt;br&gt;• Department Head writes letter to the Dean, sent to the Office for Faculty Affairs (OFA), of the intention of a faculty member to retire and requests appointment change to Emeritus or Emerita.&lt;br&gt;• If the faculty member has received a Harvard University pay check during the course of their career, they are encouraged to contact the University Benefits Office to review implications of the transition to emeritus/a status.</td>
</tr>
<tr>
<td>2.</td>
<td>OFA reviews request and submits Dean’s recommendation to University&lt;br&gt;• OFA submits change in title to the University.</td>
</tr>
<tr>
<td>3.</td>
<td>University reviews recommendation from Dean and renders a decision&lt;br&gt;• The University reviews and renders a decision regarding the proposed appointment for each candidate.</td>
</tr>
<tr>
<td>4.</td>
<td>University communicates outcome to the Office for Faculty Affairs&lt;br&gt;• A final decision is communicated to the Dean’s office.&lt;br&gt;• Dean’s office informs Department Head.</td>
</tr>
</tbody>
</table>

### 7.9. Procedure for Appointment as Corresponding Member of the Faculty for Retiring Professors, Part-time

Faculty who retire at the rank of Professor, Part-time, have completed at least 10 years of service to Harvard University, reached the age of 60, and will maintain some role in the academic department may transition to Corresponding Member of the Faculty status at the time of retirement if requested by the Department Head. Corresponding Members of the Faculty hold active appointments that must be renewed annually and, to the extent that they and their Department Heads wish, continue to participate in the academic life of the community.

#### Detailed Process for Appointment as Corresponding Member of the Faculty for Retiring Professors, Part-time

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head requests transition to Corresponding Member of the Faculty status&lt;br&gt;Department Head submits the following document to: <a href="mailto:facappt@hms.harvard.edu">facappt@hms.harvard.edu</a>&lt;br&gt;• Letter to the Dean requesting the transition to Corresponding Member of the Faculty status and confirming that the incumbent has been informed of the intended change in status&lt;br&gt;• Documentation of why continued appointment is appropriate, noting specific activities in the department that will continue following retirement.</td>
</tr>
<tr>
<td>2.</td>
<td>OFA reviews request and informs Department approval&lt;br&gt;OFA reviews request and sends notice of approval to department head. Appointment must be renewed annually.</td>
</tr>
</tbody>
</table>
Additional Resources for Section 7: http://www.fa.hms.harvard.edu/

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
8. Appointment and Promotion Process by Rank: Associate Professor

As of July 2016

This section addresses promotion to Associate Professor in the Faculty of Medicine. For information about search requirements for initial appointment to the Faculty as Associate Professor, see section 5.5. For information about appointment to Associate Professor in two departments, see section 13.

Initiating the Appointment and Promotion Process

Institutional and departmental review processes incorporate an evaluation of the candidate’s Faculty of Medicine CV and assessment as to whether the academic criteria for promotion appear to be met. For more information on the criteria, see section 6. For faculty in the clinical departments, there is no required time by which a promotion must be considered. For faculty in the basic or social science departments, promotion is generally considered by the time of completion of the second term as Assistant Professor (i.e., by the end of year 6 of the individual’s appointment as a voting member of the faculty), although earlier or later consideration are options.

Faculty members are encouraged to discuss periodically their eligibility for promotion with appropriate department leaders such as mentors, division heads and/or Department Heads. For each candidate, the following factors will be considered in making a decision as to when a promotion can be advanced:

- Substantial academic accomplishments since the candidate’s appointment as Assistant Professor
- Significant scholarship that has advanced the candidate’s field
- Evidence of a strong regional, and often national, reputation in the Area of Excellence, see section 6
- Meaningful contributions to teaching at Harvard and/or its affiliated institutions, see section 6.4
- A track record of successful mentorship of trainees
- When applicable, evidence of accomplishments in Significant Supporting Activities, see section 6.5
- Service within the candidate’s department, affiliated institution, or the larger Harvard community
- Adherence to HMS/HSDM policies supporting the highest level of integrity and professionalism

For candidates in clinical departments, when the Department Head has decided to propose a faculty member for promotion, the candidate’s dossier is assembled for review by the HMS/HSDM Department Executive Committee.
8.1. Metrics for Evaluation

The following flowchart describes the process of choosing an area of excellence and the other required attributes, such as Teaching and Education and Significant Supporting Activities (apply to all ranks) that form a customized profile. For more general information on the criteria for appointments and promotions, see section 6.

8.1.1. Associate Professor, Clinical Expertise and Innovation

For promotion to Associate Professor, the candidate must have a strong regional, and most often national, reputation as an independent expert who has influenced the clinical field. He/she may have demonstrated innovation in approaches to diagnosis, treatment or prevention of disease; the development/application of technology for clinical care; and/or the development of novel models of care delivery that influence care at a regional, and often national, level. The candidate must have an active teaching role and have influential scholarship, almost invariably as a first and senior author, in the area of clinical expertise.

In addition to distinguished service as an Assistant Professor:

<table>
<thead>
<tr>
<th>Clinical expertise may take the form of:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recognition as a clinical expert</td>
<td>Strong regional, and most often national, recognition as an independent clinical expert as evidenced by regional and/or national leadership roles and reputation related to the clinical field</td>
</tr>
</tbody>
</table>
| Influencing clinical practice          | Development of innovative approaches to diagnosis, treatment or prevention of disease, applications of technologies and/or models of care delivery that influence care at a regional, and most often national, level. Examples of activities (many others are possible) include the development of:  
|                                          | • a clinical care model  
|                                          | • practice guidelines  
|                                          | • an innovative application of an existing technology |
| Recognition                             | Invitations to speak regionally, and most often nationally, on issues related to area of clinical expertise  
|                                          | Leadership roles in regional, and most often national, professional organizations related to clinical expertise, including leadership in regional and/or national courses or programs  
|                                          | Service on regional, and most often national, committees developing guidelines and policies for management in area of clinical expertise  
|                                          | Service on regional, and most often national, committees evaluating programs in area of clinical expertise  
|                                          | Membership on editorial boards in area of clinical expertise  
|                                          | Peer-reviewed funding to support innovations that influence clinical practice regionally, and |
most often nationally
- Regional and/or national awards for contributions and/or innovation in the area of clinical expertise

Scholarship
- Publication of first and senior author original research, chapters, reviews, and/or textbooks related to area of clinical expertise that are recognized as authoritative and are widely cited
- Development of guidelines and/or protocols for patient treatment or delivery of care that are adopted regionally, and in some cases, nationally
- Publication of first and senior author manuscripts that demonstrate the impact of the candidate’s innovation on quality of care, clinical outcomes, and/or access to care

8.1.2. Associate Professor, Investigation
For promotion to Associate Professor, the candidate must have a national reputation as an independent investigator and major contributor to the field. There must be a record of independent scholarship which most often will include first and senior authorship on high-quality publications that have advanced the field; the candidate may also be in another authorship position on publications from collaborative research that significantly advance biomedical science to which he/she contributed critical ideas or innovations, having generally taken the role of first or senior author on some publications. The candidate should have a successful extramural funding record and must have evidence of teaching and supervision of trainees.

In addition to distinguished service as an Assistant Professor:

<table>
<thead>
<tr>
<th>Investigation</th>
<th>Examples of Metrics</th>
</tr>
</thead>
</table>
| Conducts original research that significantly advances biomedical science; may include any or all of the following: | - Basic research  
- Clinical research and/or laboratory or clinically based translational research which may include studies of disease mechanisms, diagnostic techniques and/or other investigations contributing knowledge that may significantly advance the prevention, diagnosis or management of disease; may have a defined role in building a multidisciplinary team and/or center that conceptualizes novel investigative approaches  
- Quantitative or social science research such as epidemiology, outcomes and health services research, and biostatistics as well as research in social sciences, ethics, bioinformatics and health economics, among others; should have an independent leadership role in design of studies, conduct of studies and/or analysis of study data; for multicenter studies, makes key, original intellectual contributions to critical elements in study design, protocol development, protocol implementation, study conduct, and/or data analysis  
- Development of new methods/technologies and/or novel applications of existing methods/technologies  
- Candidate will most often be principal investigator on federal, investigator-initiated industry, and/or foundation grants; may be site principal investigator of a multicenter study; may be primarily funded as a co-investigator if candidate brings a critical expertise to multiple studies |
| Recognition | - Invitations to speak nationally about research  
- Principal investigator peer-reviewed funding to conduct research  
- Service on editorial boards of scientific journals or as a consultant to journals in area of expertise  
- Leadership role(s) on institution research-related committees such as the human subjects committee  
- Service on national committees related to research including grant review panels such as NIH study sections, FDA panels, and data and safety monitoring boards for multicenter trials  
- Significant role in planning sessions for scientific societies nationally  
- Leadership role in an institutional research core  
- National awards for research and/or innovation  
- Membership on steering committees, other study committees and/or writing groups of national multicenter studies  
- Invitations to serve as a key investigator on multiple, significant studies based on unique expertise |
Scholarship

- Publication of first and senior author high quality, original research that significantly advances the field
- Publication of original research from multidisciplinary studies on which the candidate was first or senior author; may be in another authorship position or member of an unnamed authorship group, to which the candidate made documented, key intellectual contributions; should have taken the lead role on some manuscripts from the study
- Publications of first and senior author original work describing new methods/technologies and/or innovative applications of existing methods/technologies; may be published in journals of the primary discipline (e.g., statistics) or the field in which the expertise is applied (e.g., cardiology)

8.1.3. Associate Professor, Teaching and Educational Leadership

For promotion to Associate Professor, the candidate must have a strong regional, and most often national, reputation as an independent leader in education. He/she must have developed innovative teaching methods, curricula, educational policy or educational assessment tools, or have performed influential research related to education. The candidate’s expertise must be demonstrated through scholarship which may take the form of influential first and senior author publications related to education, or educational materials developed by the candidate and adopted for use regionally or nationally.

In addition to distinguished service as an Assistant Professor:

<table>
<thead>
<tr>
<th>Teaching may take the form of:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Didactic teaching of students, trainees and peers (e.g., lectures, continuing medical education courses, grand rounds, professional development programs, seminars, tutorials)</td>
<td>• Innovation in classroom teaching methods or novel application of existing teaching methods with adoption regionally and, in some cases, nationally&lt;br&gt; • Teaching/lecturing regionally and, most often, nationally about issues related to education</td>
</tr>
<tr>
<td>Research training and mentorship (e.g., mentor for medical student, dental student, graduate student, resident, clinical or postdoctoral research fellow or junior faculty projects; service as graduate student thesis advisor or committee member)</td>
<td>• Number and stature of trainees upon whom the candidate had a major influence; stature may be assessed by trainees’ academic rank, publications, funding and awards&lt;br&gt; • Publications with trainees&lt;br&gt; • Feedback from trainees, if available</td>
</tr>
<tr>
<td>Clinical teaching and mentorship (e.g., teaching in the clinic or hospital including bedside teaching, teaching in the operating room, preceptor in clinic)</td>
<td>• Regional and, in many cases, national leadership role related to education in a professional society&lt;br&gt; • Evaluation and success of courses for which the candidate was a leader</td>
</tr>
<tr>
<td>Administrative teaching leadership role (e.g., residency or fellowship director, course or seminar director)</td>
<td>• Evaluations and success of course(s) or program(s) for which candidate was the leader&lt;br&gt; • Participant enrollment in non-required courses for which the candidate was the leader&lt;br&gt; • Success of programs developed or innovations to existing programs introduced by the candidate. Measures of success may include increased attraction of highly competitive candidates, enhancement of diversity by increasing the representation of women and minorities</td>
</tr>
</tbody>
</table>

Recognition

- Invitations to speak regionally, and most often nationally, about education
- Leadership role in regional, and most often national, courses related to education
- Senior local leadership role in education
- Service on regional, and most often national, committees developing guidelines and policies for education/training programs
- Service on regional, and most often national, committees evaluating education programs or grant proposals related to education
- Funding to conduct educational research or to develop educational materials, methods, assessment tools or programs
- Funding to support mid-career mentoring about education by the candidate
- Service on editorial boards of educational journals
- Awards for teaching or mentoring from sources other than the candidate’s department/institution
### Scholarship

- Publication of first and senior author chapters, reviews, textbooks related to education that are recognized as authoritative and are widely cited
- Development of educational material in print or other media with regional, and in some cases national, adoption; may include syllabi, curricula, web-based training modules or courses, and/or technologies (e.g., simulation); may also include development of educational methods, policy statements, and/or assessment tools
- Publication of first and senior author influential original research related to educational methods, assessment and/or policy

<table>
<thead>
<tr>
<th>8.1.4. Teaching and Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please refer to section 6.4 for metrics.</td>
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</table>

<table>
<thead>
<tr>
<th>8.1.5. Significant Supporting Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please refer to section 6.5 for metrics.</td>
</tr>
</tbody>
</table>
8.2. Procedures for Appointment and Promotion to Associate Professor

Process Flowchart At-A-Glance for Appointment and Promotion to Associate Professor

Step 1
Department
- Department head (or designee) and candidate review CV and academic criteria

Step 2
Department
- Department head proposes candidate to department executive committee

Step 3
Department
- Department prepares dossier for submission to the Office for Faculty Affairs (OFA)

Step 4
Office for Faculty Affairs
- OFA initiates promotion process & provides candidate access to a website to track the major milestones of the promotion process
- OFA conducts detailed review of dossier

Step 5
Office for Faculty Affairs
- Promotions, Reappointment and Appointments Committee (P&R) reviews dossier and makes recommendation

Step 6
Office for Faculty Affairs
- OFA reviews P&R assessment; Dean's recommendation submitted to the University

Step 7
University
- University reviews recommendation from Dean and renders a decision

Step 8
University
- University communicates outcome to the Office for Faculty Affairs
## Detailed Process for Appointment and Promotion to Associate Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1. Department Head (or designee) and candidate review CV and academic criteria | - The process begins with a meeting of the Department Head (or designee such as a mentor or division chief) and the candidate, ideally as part of the annual career conference, to discuss the process and review the candidate’s CV and bibliography in consideration of the academic criteria for promotion to Associate Professor  
  - Academic Department Heads are the only individuals who can propose candidates for promotion  
  - Candidate prepares CV in the required FoM format  
  - Department Head determines readiness for appointment at this rank and develops a rationale for advancement in the candidate’s Area of Excellence, see section 6.  
  - Department Head prepares a letter of nomination recommending the candidate for promotion.  
  - The candidate may be asked to provide a list of potential letter writers to the Department Head  
  - Department Head (not the candidate) solicits letters of evaluation (see step 3 below for dossier requirements) |
| 2. Department Head proposes candidate to department executive committee | - The Department Head reviews the candidate’s qualifications with members of the departmental executive committee, comprised of the appointing Department Heads in the discipline and, in the case of some departments, additional senior faculty members. The members of the committee provide feedback to the Department Head on the proposed candidate and Area of Excellence and may recommend that the promotion move forward, that the Department Head obtain additional information, or that the department delay consideration pending achievement of other academic accomplishments by the candidate  
  - The executive committee makes a formal recommendation in writing to the Dean regarding the candidate’s promotion. If there is any dissent or abstention, the letter to the Dean includes the reasons for either dissents or abstentions. If there is unanimity, signature of the chair of the executive committee on the Term Appointment and Promotion Cover Sheet will suffice |
| 3. Department prepares dossier for submission to the Office for Faculty Affairs (OFA) | Materials are submitted electronically to the Office for Faculty Affairs at: PnR@hms.harvard.edu. The submitted dossier consists of:  
  - Form for Initiation of Term Appointments and Promotions signed by the Department Head and, if different, the executive committee chair  
  - Medical Area Reporting System (MARS) appointment history sheet, which should be consistent with information on the Faculty of Medicine CV  
  - The Department Head’s nominating letter.  
  - In the case of first appointment as Associate Professor, required search documentation.  
  - The candidate’s CV in FoM format with the five most significant scholarly works identified by circling the number next to the reference  
  - All letters of evaluation solicited by the Department Head. The minimum number of letters is six and must include:  
    - At least two letters from Harvard University faculty; it is generally recommended that at least one of the Harvard letters come from a senior faculty member in the candidate’s home department and institution  
    - For appointments of candidates from outside Harvard, at least one letter should be included from the prior home institution  
    - At least two letters from faculty outside Harvard – one of which must be from someone who meets the standard for an impartial letter writer. An impartial letter writer is someone who has not trained or trained with the candidate, worked with the candidate, written with the candidate or collaborated with the candidate, and is not from the candidate’s prior home institution(s)  
    - The remaining letter(s) may come from inside or outside Harvard  
  - With rare exception, all letters should be submitted from faculty at the rank of Associate Professor or above. Additional letters from individuals not of
these ranks may be submitted if they provide a unique and valuable perspective
  • The candidate’s 5 self-selected representative scholarly works as PDFs. In those cases where the candidate has selected as one or several of the five best papers to be reviewed for Associate Professor a paper(s) on which s/he is a middle author, the candidate must describe in writing the contribution to the manuscript. The candidate’s description should be attached as a separate submission. The candidate might also annotate all the selected papers to indicate why the work is important and what impact it has had on the field.

4. **OFA initiates promotion process & provides candidate access to a website to track the major milestones of the promotion process; OFA conducts detailed review of dossier**
   
   Upon receipt of the candidate dossier, the staff of the OFA will:
   
   - Provide access to a confidential website for tracking the status of the promotion available only to candidates with Harvard University IDs, the Department Head and the department promotions administrators
   - Send an email to the candidate to alert him/her that the dossier has been received, the HMS evaluation process has started, and the website is available
   - Request modifications or additions as needed from the department
   - Once the materials are complete, schedule the dossier for review by the Promotions & Reappointments (P&R) Committee

5. **Promotions, Reappointment and Appointments Committee (P&R) reviews dossier and makes recommendation**
   
   The two P&R Committees each meet approximately 11 times per academic year:
   
   - At the meeting, two members of the P&R Committee not based in the candidate’s department or institution summarize the candidate’s dossier and make a recommendation on the proposed promotion
   - A departmental representative is present to respond to any questions. If questions regarding the dossier are available in advance of the meeting, they are forwarded to the departmental representative
   - At the meeting, the committee deliberates and members individually render their recommendation to the Dean in the form of a confidential written ballot

6. **OFA reviews P&R assessment; Dean’s recommendation submitted to the University**
   
   • Any case for which concerns are raised by the P&R Committee is further reviewed in the Dean’s office prior to submitting a recommendation, positive or negative, to the University

7. **University reviews recommendation from Dean and renders a decision**
   
   • The University reviews and renders a decision regarding the proposed appointment for each candidate

8. **University communicates outcome to the Office for Faculty Affairs**
   
   • A final decision is communicated to the Office for Faculty Affairs
   - The Office for Faculty Affairs informs the Department Head
   - The Department Head informs the candidate

### 8.3. Procedures for Appointment as an Endowed Associate Professor

Endowed Associate Professorships recognize extraordinary clinicians, researchers and educators who serve as faculty at HMS or one of its affiliated intuitions. Endowed Associate Professorships stand in perpetuity, generating invaluable support for incumbents, their institutions and HMS while building a history of remarkable scholarship and leadership under one name. New Professorships are formally celebrated at HMS, often at the time the first incumbent is appointed.

The Harvard School of Dental Medicine (HSDM) also bestows Endowed Professorships. The funding, term creation and incumbent nominations are managed independently at HSDM.

Endowed professorship appointments for faculty at the rank of Associate Professor are term appointments with end dates that are coterminous with those for the Associate Professor appointment. If the Associate Professor appointment is renewed, the endowed chair appointment may also be renewed. If the incumbent is promoted to full professor, the Department Head or CEO/President may request that the endowed chair appointment “move up” with the candidate, except for rare instances when the endowed professorship terms specify that the incumbent must be an Associate Professor.
### Detailed Process for Appointment as Endowed Associate Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1. Department Head or CEO/President nominates incumbent | Department Head or CEO/President submits the following materials to endowedprof@hms.harvard.edu:  
- Nomination letter to the Dean describing the proposed incumbent’s background, accomplishments, and appropriate for the Endowed Professorship based on the donor’s intentions, as outlined in the Professorship terms  
- Proposed incumbent’s current CV |
| 2. OFA reviews nomination and submits Dean’s recommendation to University | OFA reviews proposal and confirms the following information:  
- Existing Professorship is vacant or current incumbent will transition to distinguished or Emeritus/Emerita status  
- New Professorship has been activated through a minimum funding level determined by the University  
- Nominated incumbent’s qualifications are consistent with Professorship terms and warrant the distinction of being appointed to a named Professorship  
- Proposed incumbent’s institution supports appointment  
OFA submits Dean’s recommendation to University |
| 3. University reviews recommendation and renders a decision | The University reviews the Dean’s recommendation, renders a decision, and informs the Dean and OFA. |
| 4. OFA notifies Department Head, CEO/President, and incumbent of the outcome | OFA informs the Department Head and CEO/President via email  
- Formal letters from the Dean and University are sent directly to candidate at the conclusion of the process |

### 8.4. Procedure for Appointment as Corresponding Member of the Faculty

Faculty who retire at the rank of Associate Professor, have completed at least 10 years of service to Harvard University, reached the age of 60, and will maintain some role in the academic department may transition to Corresponding Member of the Faculty status at the time of retirement if requested by the Department Head. Corresponding Members of the Faculty hold active appointments that must be renewed annually and, to the extent that they and their Department Heads wish, continue to participate in the academic life of the community.
Detailed Process for Appointment as Corresponding Member of the Faculty

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Department Head requests transition to Corresponding Member of the Faculty status&lt;br&gt;Department Head submits the following document to: <a href="mailto:facappt@hms.harvard.edu">facappt@hms.harvard.edu</a>&lt;br&gt;- Letter to the Dean requesting the transition to Corresponding Member of the Faculty status and confirming that the incumbent has been informed of the intended change in status&lt;br&gt;- Documentation of why continued appointment is appropriate, noting specific activities in the department that will continue following retirement.</td>
</tr>
<tr>
<td>2.</td>
<td>OFA reviews request and confirms approval&lt;br&gt;OFA reviews request and sends notice of approval to department head. Appointment must be renewed annually.</td>
</tr>
</tbody>
</table>

8.5. Procedures for Reappointment

The following procedures are required for reappointment as Associate Professor:

- Associate Professors must be reappointed every 5 years.
- The Department Head submits to the Office for Faculty Affairs an updated CV and letter reviewing the faculty member’s contributions to teaching, research, clinical and administrative needs of the department, plans for academic contributions and the department’s expectations for the coming term. The letter should include an assessment of the level of productivity and the quality of the contributions as well as source(s) of funding.
- Department Head confirms that the current title reflects the obligations Associated with a full or part-time appointment (see section 4.2), that the faculty member has met the annual teaching obligation of 50 hours per year, and that the faculty member has complied with all faculty policies, see section 3. Department Head documents the name of the faculty member’s mentor and the date of the most recent career conference.
- From the second reappointment as Associate Professor (e.g., at 10 years) and all subsequent reappointments, Department Heads will, in addition to the routine reappointment documentation, provide an update in the letter to the Dean regarding the academic trajectory for the faculty member and the likelihood of academic advancement.

Additional Resources for Section 8: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)
- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
9. Appointment and Promotion Process by Rank: Assistant Professor
As of July 2016

This section addresses promotion to Assistant Professor in the Faculty of Medicine. For information about search requirements for initial appointment to the HMS/HSDM faculty as Assistant Professor, see section 5.5. For information about appointment as Assistant Professor in two departments, see section 13. For promotions to Assistant Professor by Longer Service promotions criteria, see section 9.3.

Initiating the Appointment and Promotion Process

Institutional and departmental review processes incorporate an evaluation of the candidate’s Faculty of Medicine CV and assessment as to whether the academic criteria for promotion appear to be met. For more information on the criteria, see section 6. For faculty in the clinical departments, there is no required time by which a promotion must be considered. Faculty members are encouraged to discuss periodically their eligibility for promotion with appropriate department leaders such as mentors, division heads and/or Department Heads. For each candidate, the following factors will be considered in making a decision as to when a promotion can be advanced:

- Substantial academic accomplishments since the candidate’s appointment as Instructor for those who are being promoted internally
- Significant scholarship that has advanced the candidate’s field
- Evidence of a strong local reputation in the Area of Excellence, see section 6.
- Meaningful contributions to teaching at Harvard and/or its affiliated institutions, see section 6.4.
- When applicable, evidence of accomplishments in Significant Supporting Activities, see section 6.5.
- Service within the candidate’s department, affiliated institution, or the larger Harvard community
- Adherence to HMS/HSDM policies supporting the highest level of integrity and professionalism

When the Department Head has decided to propose a faculty member for promotion, the candidate’s materials are next reviewed by the department executive committee.

9.1. Metrics for Evaluation

The following flowchart describes the process of choosing an area of excellence and the other required attributes, such as Teaching and Education and Significant Supporting Activities (apply to all ranks) that form a customized profile. For more general information on the criteria for appointments and promotions, see section 6.
9.1.1. **Assistant Professor, Clinical Expertise and Innovation**

For promotion to Assistant Professor, the candidate must have evidence of a strong local reputation as an expert in a clinical field with a leadership role and/or a key role in activities that influence practice, such as approaches to diagnosis, treatment or prevention of disease; applications of technology to clinical care; and/or development or local adoption of innovative models of care delivery. The candidate almost invariably will have first author scholarship related to the clinical field (unless being considered by Longer Service criteria; see section 9.3) and should be teaching in the clinical field, though the candidate may also be in another authorship position on publications from collaborative clinical scholarship to which he/she has made documented, substantive intellectual contributions.

*In addition to distinguished service as an Instructor:*

<table>
<thead>
<tr>
<th>Clinical expertise may take the form of:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Recognition as a clinical expert</strong></td>
<td>Strong local reputation as a clinical expert, may hold local clinical leadership roles</td>
</tr>
<tr>
<td><strong>Influencing clinical practice</strong></td>
<td>Key role in the development or local adoption of innovative approaches to diagnosis, treatment or prevention of disease, use of technologies and/or models of care delivery. Examples of activities (many others are possible) include:</td>
</tr>
<tr>
<td></td>
<td>• Assisting with the creation of a novel interdisciplinary clinical service</td>
</tr>
<tr>
<td></td>
<td>• Key role in development and local implementation of practice guidelines for care or to prevent medical errors</td>
</tr>
<tr>
<td></td>
<td>• Utilizing and disseminating the use of a new surgical procedure</td>
</tr>
<tr>
<td><strong>Recognition</strong></td>
<td>Invitations to speak locally, and in many cases regionally, on issues related to area of clinical expertise</td>
</tr>
<tr>
<td></td>
<td>Role in local professional organizations related to clinical expertise, including participation as a speaker in courses and program development</td>
</tr>
<tr>
<td></td>
<td>Invitations to participate locally in the development of guidelines/protocols for quality improvement or management in area of clinical expertise</td>
</tr>
<tr>
<td></td>
<td>Service as peer reviewer for clinical journals</td>
</tr>
<tr>
<td></td>
<td>Peer-reviewed funding to support innovations that influence clinical practice locally</td>
</tr>
<tr>
<td></td>
<td>Local awards for contributions and/or innovation in the area of clinical expertise</td>
</tr>
<tr>
<td><strong>Scholarship</strong></td>
<td>Publication of first author original research, reviews and/or chapters related to area of clinical expertise; may include publication of research that assesses the effectiveness of innovative approaches to clinical care</td>
</tr>
<tr>
<td></td>
<td>Development of guidelines and/or protocols for patient treatment or delivery of care that are adopted locally</td>
</tr>
</tbody>
</table>
9.1.2. Assistant Professor, Investigation
For promotion to Assistant Professor, the candidate must have evidence of a strong local reputation for contributions to research with an identified research focus or area of expertise. He/she must demonstrate scholarship which most often includes publications on which the candidate is first author; the candidate may also be in another authorship position on publications from collaborative research to which he/she has made documented, substantive intellectual contributions. The candidate generally has some funding to conduct research, often as principal investigator, and most often has evidence of supervision of research trainees.

In addition to distinguished service as an Instructor:

<table>
<thead>
<tr>
<th>Investigation</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Defined role in investigative activities which may include any or all of the following:</td>
</tr>
<tr>
<td></td>
<td>• Basic research</td>
</tr>
<tr>
<td></td>
<td>• Clinical research and/or laboratory or clinically based translational research which may include studies of disease mechanisms, diagnostic techniques and/or other investigations that may contribute to the prevention, diagnosis or management of disease; may have a defined role as a member of a multidisciplinary or other collaborative research team that conceptualizes novel investigative approaches</td>
</tr>
<tr>
<td></td>
<td>• Quantitative and social science research such as epidemiology, outcomes and health services research, and biostatistics as well as research in social sciences, ethics, bioinformatics and health economics, among others; should have a defined role and may contribute to protocol development, protocol implementation, conduct of studies, data collection and/or analysis of new or existing data</td>
</tr>
<tr>
<td></td>
<td>• Novel applications of existing methods and/or technologies</td>
</tr>
<tr>
<td></td>
<td>• Candidate most often has some funding for research activities which may include a career development award, principal investigator role on federal, foundation, investigator-initiated industry, or institutional grant(s); candidate may be funded as a co-investigator with a defined role and substantive intellectual contributions to a collaborative or multicenter study</td>
</tr>
</tbody>
</table>

| Recognition   | • Invitations to speak locally, and in many cases regionally, about research |
|               | • Peer-reviewed funding to conduct research |
|               | • Service as an ad hoc reviewer for scientific journals |
|               | • Service on institution research-related committees such as the human subjects committee |
|               | • Role in planning sessions for scientific societies locally and, in many cases, regionally |
|               | • Instrumental role in an institutional research core |
|               | • Local and/or regional awards for research and/or innovation |
|               | • Role as an investigator on multiple studies based on specific expertise |

| Scholarship    | Publication of original research that contributes new knowledge; most often includes publications on which the candidate is first author; may be in another authorship position on publications of collaborative research to which the candidate has made documented, substantive intellectual contributions |

9.1.3. Assistant Professor, Teaching and Educational Leadership
For promotion to Assistant Professor, the candidate must have evidence of a strong local reputation as an active and highly effective teacher with increasing involvement and responsibility over time. The candidate must demonstrate scholarship, which will often include first author publications and may also include educational materials in print or other media that have been developed by the candidate and have been adopted locally. Since some faculty being promoted to Assistant Professor in this area of excellence may not have yet demonstrated peer-reviewed scholarship related to education, some of the publications supporting this promotion might be related to the candidate’s clinical expertise or investigation. Promotion in this area of excellence to all other ranks requires scholarship related to education.
In addition to distinguished service as an Instructor:

<table>
<thead>
<tr>
<th>Teaching may take the form of:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
</table>
| **Didactic teaching of students, trainees and peers** (e.g., lectures, continuing medical education courses, grand rounds, professional development programs, seminars, tutorials) | • Participation in courses and lectures at Harvard and its affiliates, especially HMS/HSDM courses  
• Learner and/or peer evaluations of teaching  
• Increasing involvement and responsibility over time |
| **Research training and mentorship** (e.g., mentor for medical student, dental student, graduate student, resident, clinical or postdoctoral research fellow or junior faculty projects; service as graduate student thesis advisor or committee member) | • Number of individuals trained  
• Publications with trainees  
• Feedback from trainees, if available |
| **Clinical teaching and mentorship** (e.g., teaching in the clinic or hospital including bedside teaching, teaching in the operating room, preceptor in clinic) | • Quantified level of activity  
• Evaluations by students, residents, fellows |
| **Administrative teaching leadership role** (e.g., residency or fellowship co-director or director, course or seminar co-director or director) | • Evaluations and success of course(s) and or program(s) for which candidate was a leader  
• Participant enrollment in non-required courses for which the candidate was a leader |
| **Recognition**                                                      | • Invitations to speak and teach locally about education, including outside the candidate’s department  
• Contributions to local professional educational organizations  
• Funding to conduct educational research, to develop educational materials, methods, assessment tools or programs  
• Service as a peer reviewer for educational journals  
• Selection for participation in limited enrollment training programs for educators  
• Local awards for teaching or mentoring |
| **Scholarship**                                                     | Publication of first author original research, reviews, and/or chapters  
Development and local adoption of educational material in print or other media; may include syllabi, curricula, web-based training modules or courses, and/or technologies (e.g., simulation); may also include development of educational methods, policy statements, and/or assessment tools |

9.1.4. Teaching and Education
Please refer to section 6.4 for metrics.

9.1.5. Significant Supporting Activities
Please refer to section 6.5 for metrics.
9.2. Procedures for Appointment and Promotion to Assistant Professor

Process Flowchart At-A-Glance for Appointment and Promotion to Assistant Professor

Step 1
Department
Department head (or designee) and candidate review CV and academic criteria

Step 2
Department
Department head proposes candidate to department executive committee

Step 3
Department
Department prepares dossier for submission to the Office for Faculty Affairs (OFA)

Step 4
Office for Faculty Affairs
OFA initiates promotion process & provides candidate access to a website to track the major milestones of the promotion process
OFA conducts detailed review of dossier

Step 5
Office for Faculty Affairs
Promotions, Reappointment and Appointments Committee (P&R) reviews dossier and makes recommendation

Step 6
Office for Faculty Affairs
OFA reviews P&R assessment; Dean's recommendation submitted to the University

Step 7
University
University reviews recommendation from Dean and renders a decision

Step 8
University
University communicates outcome to the Office for Faculty Affairs
**Detailed Process for Appointment and Promotion to Assistant**

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1. | **Department Head (or designee) and candidate review CV and academic criteria**  
- The process begins with a meeting of the Department Head (or designee such as a mentor or division chief) and the candidate, ideally as part of the annual career conference, to discuss the process and review the candidate’s Faculty of Medicine CV and bibliography in consideration of the academic criteria for promotion to Assistant Professor  
- Academic Department Heads are the only individuals who can propose candidates for promotion  
- Candidate prepares CV in the required FoM format  
- Department Head determines readiness for appointment at this rank and develops a rationale for advancement in the candidate’s Area of Excellence, see section 6.  
- Department Head prepares a letter of nomination recommending the candidate for promotion.  
- The candidate may be asked to provide a list of potential letter writers to the Department Head  
- Department Head (not the candidate) solicits letters of evaluation (see step 3 below for dossier requirements) |
| 2. | **Department Head proposes candidate to department executive committee**  
- The Department Head reviews the candidate’s qualifications with members of the departmental executive committee, comprised of the appointing Department Heads in the discipline and, in the case of some departments, additional senior faculty members. The members of the committee provide feedback to the Department Head on the proposed candidate and Area of Excellence and may recommend that the promotion move forward, that the Department Head obtain additional information, or that the department delay consideration pending achievement of other academic accomplishments by the candidate  
- The executive committee makes a formal recommendation in writing to the Dean regarding the candidate’s promotion. If there is any dissent or abstention, the letter to the Dean includes the reasons for either dissents or abstentions. If there is unanimity, signature of the chair of the executive committee on the Term Appointment and Promotion Cover Sheet will suffice |
| 3. | **Department prepares dossier for submission to the Office for Faculty Affairs (OFA)**  
- Materials are submitted by the Department electronically to the Office for Faculty Affairs at: PnR@hms.harvard.edu. The submitted dossier consists of:  
  - Form for Initiation of Term Appointments and Promotions, signed by the Department Head and, if different, the executive committee chair.  
  - Medical Area Reporting System (MARS) appointment history sheet, which should be consistent with information on the Faculty of Medicine CV  
  - The Department Head-nominating letter.  
  - In the case of first appointment as Assistant Professor, required search documentation (see section 5.5)  
  - The candidate’s CV in FoM format with the two most significant scholarly works identified by circling the number next to the reference.  
  - Letters of evaluation solicited by the Department Head. The minimum number of letters is 4 and must include:  
    - For appointment of internal candidates, at least two letters from Harvard University faculty; it is generally recommended that at least one of the Harvard letters comes from a faculty member in the candidate’s home department and institution  
    - For appointment of candidates from outside Harvard, at least one letter should be included from the prior home institution  
    - At least one letter from faculty outside Harvard  
    - The remaining letter(s) may come from inside or outside Harvard  
  - With rare exception, all required letters should be submitted from faculty at the rank of Associate Professor or above. Additional letters from individuals not of those ranks may be submitted if they provide a unique and valued perspective  
  - The candidate’s 2 self-selected representative scholarly works as PDFs. In those cases where the candidate has selected as one or several of the 2 best papers to be reviewed for Assistant Professor a paper(s) on which... |
s/he is a middle author, the candidate must describe in writing the contribution to the manuscript. The candidate’s description should be attached as a separate submission. The candidate might annotate all the selected papers to indicate why the work is important and what impact it has had on the field.

4. **OFA initiates promotion process & provides candidate access to a website to track the major milestones of the promotion process; OFA conducts detailed review of dossier**
   - Upon receipt of the candidate dossier, the staff of the Office for Faculty Affairs will:
     - Provides access to a confidential website for tracking the status of the promotion available only to candidates with Harvard University IDs, the Department Head and the department promotion administrators.
     - Send an email to the candidate to alert him/her that the dossier has been received, the HMS evaluation process has started, and the website is available.
     - Request modifications or additions as needed from the department.
     - Once the materials are complete, schedule the dossier for review by the Promotions & Reappointments (P&R) Committee.

5. **Promotions, Reappointment and Appointments Committee (P&R) reviews dossier and makes recommendation**
   - The two P&R Committees each meet 11 times per year.
   - Before each meeting of the P&R Committee, three members of the Committee, not based in the candidate’s department or institution, are assigned to review each candidate’s promotional materials.
   - If all three reviewers vote to approve the nomination and no concerns are raised, the Office for Faculty Affairs forwards the candidate’s dossier to the University for consideration without further discussion of the case.
   - Any reviewer, or the Dean’s office, may request discussion of any candidate at the P&R Committee meeting.
     - If the case is discussed at the meeting, assigned reviewers summarize the candidate’s dossier and make a recommendation on the proposed promotion.
     - A departmental representative is present to respond to any questions. If questions regarding the dossier are available in advance of the meeting, they are forwarded to the departmental representative.
   - At the meeting, the committee deliberates and members individually render their recommendation to the Dean in the form of a confidential written ballot.

6. **OFA reviews P&R assessment; Dean’s recommendation submitted to the University**
   - Any case for which the P&R Committee raises concerns is further reviewed in the Dean’s office prior to submitting a recommendation, positive or negative, to the University.

7. **University reviews recommendation from Dean and renders a decision**
   - The University reviews and renders a decision regarding the proposed appointment for each candidate.

8. **University communicates outcome to the Office for Faculty Affairs**
   - A final decision is communicated to the Office for Faculty Affairs.
   - The Office for Faculty Affairs informs the Department Head.
   - The Department Head informs the candidate.

### 9.3. Promotion to Assistant Professor by Longer Service Criteria

The Longer Service Criteria are intended to reward clinical faculty for significant and sustained contributions to the teaching mission of HMS, HSDM, and their affiliated institutions. Eligible faculty are full-time or part-time clinicians who have dedicated at least 10 years as faculty members to education in the Harvard community and have demonstrated continuing growth in their roles as teachers. As long as the total years of contribution are 10, faculty may have a break of up to two years in their appointment to be considered for promotion by the Longer Service criteria. Teaching is broadly defined to include didactic teaching of students, trainees and peers, clinical teaching and mentorship, and administrative teaching leadership roles in the Harvard community. Teaching of Harvard medical, dental, and graduate students will be particularly noted but is not required. Candidates for Longer Service promotion should clearly document a minimum of 50 hours of teaching per year. Teaching outside Harvard and its affiliates will not be counted towards the teaching contribution at Harvard but should be included as evidence of the candidate’s body of work.
There is no requirement for written scholarship. As with all promotions, consideration will be given to the sum total of the individual's achievements. The evaluation will consider all activities, including contributions in the areas of investigation, clinical expertise, education of patients and service to the community, and administration and institutional service.

Promotion by Longer Service Criteria is only to the rank of Assistant Professor. Promotion by these criteria does not preclude promotion to Associate Professor, but evaluation for subsequent promotions would require scholarship and would be based on the criteria for Associate Professor described elsewhere, see section 8.

### 9.3.1. Longer Service Metrics

<table>
<thead>
<tr>
<th>Teaching may take the form of:</th>
<th>Examples of Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Didactic teaching of students, trainees and peers</strong> (e.g., lectures, continuing medical education courses, grand rounds, professional development programs, seminars, tutorials)</td>
<td>Level of activity (noting lectures and courses taught) and measures of quality (e.g., participant or peer evaluation); specifically note HMS/HSDM courses for medical, dental, and graduate students. May note if individual has devised innovative methods in classroom teaching and/or taught or lectured on issues related to education.</td>
</tr>
<tr>
<td><strong>Clinical teaching and mentorship</strong> (e.g., teaching in the clinic or hospital including bedside teaching, teaching in the operating room, preceptor in clinic)</td>
<td>Level of activity. Quality of teaching as measured by evaluations by students, residents, fellows.</td>
</tr>
<tr>
<td><strong>Administrative teaching leadership role</strong> (e.g., residency or fellowship director, course or seminar director)</td>
<td>Quality as measured by evaluations and success of courses/programs for which the candidate was a leader.</td>
</tr>
<tr>
<td><strong>Recognition</strong></td>
<td>May have evidence of contributions in education such as: Role in professional organization related to education. Local leadership role in educational organizations. Invitations to speak on issues related to education. Service on education-related committees. Awards for teaching, mentoring or other education-related achievements.</td>
</tr>
</tbody>
</table>
### 9.4. Procedures for Promotion to Assistant Professor, Longer Service

#### Process Flowchart At-A-Glance for Promotion to Assistant Professor, Longer Service

1. **Step 1**  
   Department  
   Department head (or designee) and candidate review CV and academic criteria

2. **Step 2**  
   Department  
   Department head proposes candidate to department executive committee

3. **Step 3**  
   Department  
   Department prepares dossier for submission to the Office for Faculty Affairs (OFA)

4. **Step 4**  
   Office for Faculty Affairs  
   OFA conducts detailed review of dossier

5. **Step 5**  
   Office for Faculty Affairs  
   Longer Service Committee (LSC) reviews dossier and makes recommendation

6. **Step 6**  
   Office for Faculty Affairs  
   OFA reviews LSC assessment; Dean's recommendation submitted to the University

7. **Step 7**  
   University  
   University reviews recommendation from Dean and renders a decision

8. **Step 8**  
   University  
   University communicates outcome to the Office for Faculty Affairs

#### Detailed Process for Promotion to Assistant Professor, Longer Service

**Step**  

1. **Department Head (or designee) and candidate review CV and academic criteria**

   - The process begins with a meeting of the Department Head (or designee such as a mentor or division chief) and the candidate to review the candidate’s Faculty of Medicine CV in consideration of the academic criteria for promotion to Assistant Professor by Longer Service Criteria.
   - Academic Department Heads are the only individuals who can propose candidates for promotion.
   - Candidate prepares CV in the required FoM format. Care should be taken to report in detail teaching and clinical contributions.
   - Department Head determines whether or not the candidate’s contributions to clinical care and teaching meet Longer Service criteria.
   - Candidate and Department Head gather and summarize available teaching...
<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Evaluations across the continuum in which the candidate teaches. Department Head prepares a letter of nomination recommending the candidate for promotion. The letter of nomination must include mention of available teaching evaluations. The candidate may be asked to provide a list of potential letter writers to the Department Head. Department Head (not the candidate) solicits letters of evaluation (see step 3 below for dossier requirements).</td>
</tr>
<tr>
<td>2.</td>
<td>Department Head proposes candidate to department executive committee. The Department Head reviews the candidate’s qualifications with members of the departmental executive committee, comprised of the appointing Department Heads in the discipline and, in the case of some departments, additional senior faculty members. The members of the committee provide feedback to the Department Head on the proposed candidate and may recommend that the promotion move forward, that the Department Head obtain additional information, or that the department delay consideration pending achievement of other teaching or clinical accomplishments by the candidate. The executive committee may alternatively determine that the candidate should be promoted based upon academic achievements through the P&amp;R mechanism with a specific Area of Excellence. The executive committee makes a formal recommendation in writing to the Dean supporting the candidate’s promotion. If there is any dissent or abstention, the letter to the Dean includes the reasons for either dissents or abstentions. If there is none, signature of the chair of the executive committee on the Term Appointment and Promotion Cover Sheet will suffice.</td>
</tr>
<tr>
<td>3.</td>
<td>Department prepares dossier for submission to the Office for Faculty Affairs (OFA). Materials are submitted on line to: <a href="mailto:PandR@hms.harvard.edu">PandR@hms.harvard.edu</a>. The submitted dossier consists of: Form for Initiation of Term Appointments and Promotions, signed by the Department Head and, if different, the executive committee chair. The cover sheet should note the use of Longer Service Criteria and should not include selection of Area of Excellence or Significant Supporting Activities. Medical Area Reporting System (MARS) appointment history sheet, which should be consistent with information on the Faculty of Medicine CV. The Department Head nominating letter. The candidate CV in FoM format. All letters of evaluation solicited by the Department Head. There should be a minimum of three letters, all of which should be written by faculty at the rank of Assistant Professor and above and should include at least two letters from within the candidate’s department. All letters may be from HMS/HSDM faculty. Additional letters from others may be included if the writers have a unique and valued perspective on the candidate.</td>
</tr>
<tr>
<td>4.</td>
<td>OFA conducts detailed review of dossier. Upon receipt of the candidate dossier, the staff of the Office for Faculty Affairs will: Provide access to a confidential website for tracking the status of the promotion available only to the candidate, the Department Head and the department promotion administrators. Send an email to the candidate to alert him/her that the dossier has been received, the HMS evaluation process has started, and the website is available. Request modifications or additions as needed from the department. Once the materials are complete, schedule the dossier for review by the Longer Service Subcommittee of the Promotions &amp; Reappointments (P&amp;R) Committee.</td>
</tr>
<tr>
<td>5.</td>
<td>Longer Service Committee reviews dossier and makes recommendation. The Longer Service Committee meets approximately 6 times per academic year. Before each meeting of the Longer Service Committee, one member of the committee, not based in the candidate’s department or institution, is assigned to review each candidate’s dossier. At the meeting, the committee deliberates and members render their recommendation to the Dean in the form of a confidential written ballot.</td>
</tr>
<tr>
<td>6.</td>
<td>OFA reviews LSC assessment; Dean’s recommendation submitted. Any case for which concerns are raised by the Longer Service Committee is reviewed in the Dean’s office prior to submitting a recommendation, positive or</td>
</tr>
</tbody>
</table>
9.5.  Procedure for Appointment as Corresponding Member of the Faculty

Faculty who retire at the rank of Assistant Professor, have completed at least 10 years of service to Harvard University, reached the age of 60, and will maintain some role in the academic department may transition to Corresponding Member of the Faculty status at the time of retirement if requested by the Department Head. Corresponding Members of the Faculty hold active appointments that must be renewed annually and, to the extent that they and their Department Heads wish, continue to participate in the academic life of the community.

**Process Flowchart At-A-Glance for Appointment as Corresponding Member of the Faculty**

1. **Step 1**
   - Department Head requests transition to Corresponding Member of the Faculty status

2. **Step 2**
   - Office for Faculty Affairs
     - OFA reviews request and informs Department of approval.

**Detailed Process for Appointment as Corresponding Member of the Faculty**

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | Department Head requests transition to Corresponding Member of the Faculty status  
      | Department Head submits the following document to:  
      | facappt@mhs.harvard.edu  
      | - Letter to the Dean requesting the transition to Corresponding Member of the Faculty status and confirming that the incumbent has been informed of the intended change in status  
      | - Documentation of why continued appointment is appropriate, noting specific activities in the department that will continue following retirement. |
| 2.   | OFA reviews request and confirms approval  
      | OFA reviews request and sends notice of approval to department head. Appointment must be renewed annually. |

9.6.  Procedures for Reappointment

The following procedures are required for reappointment as Assistant Professor:

- Assistant Professors must be reappointed every three years.
- The Department Head submits to the Office for Faculty Affairs an updated CV and letter reviewing the faculty member’s contributions to teaching, research, clinical and administrative needs of the department, plans for academic contributions and the department’s expectations for the coming term. The letter should include an assessment of the level of productivity and the quality of the contributions as well as source(s) of funding.
- Department Head confirms that the current title reflects the obligations Associated with a full or part-time appointment (see section 4.2), that the faculty member has met the annual teaching obligation of 50 hours
per year, and that the faculty member has complied with all faculty policies, see section 3. The Department Head documents the name of the faculty member’s mentor and the date of the most recent career conference.

- From the second reappointment as Assistant Professor (e.g., at 6 years) and all subsequent reappointments, the Department Heads will, in addition to the routine reappointment documentation, provide an update in the letter to the Dean regarding the academic trajectory for the faculty member and the likelihood of academic advancement.

Additional Resources for Section 9: [http://www.fa.hms.harvard.edu](http://www.fa.hms.harvard.edu)

- Checklists, Forms, Guides and Templates (see by section) ➤
- Faculty of Medicine CV Guidelines ➤
- Glossary ➤
10. Appointment of Instructors
As of July 2016

10.1. Definition, Eligibility, Criteria, Term of Appointment

Definition:
The Instructor appointment is an entry, ladder, non-voting faculty appointment following postdoctoral clinical or research training which may be renewed annually according to guidelines below. Faculty appointed as Instructors are individuals who are considered by their Department Heads to be potentially eligible for future promotion upon meeting criteria for the rank of Assistant Professor or to be future candidates in searches for faculty at the Assistant Professor rank. The faculty member’s title, Instructor or Instructor, Part-time, is based on whether the individual’s commitment to the HMS role meets full-time or part-time criteria, see section 4.2.

Eligibility:
The Instructor title is typically the first faculty appointment following postdoctoral clinical or research training* for those individuals who do not meet the criteria for appointment as Assistant Professor.

The appointment as Instructor is based on the candidate’s academic promise. Department Heads nominate candidates for the Instructor appointment directly to the Dean. Those who meet eligibility criteria (see below) are approved following review by the Office for Faculty Affairs. The Instructor appointment is a one-year, non-voting appointment that may be renewed annually. Individuals do not need to commit to an Area of Excellence at the Instructor level. Instructors may be appointed from outside Harvard following a search process or may be appointed following a postdoctoral training appointment at Harvard.

The decision to advance an internal candidate from a training role to a faculty appointment at the Instructor level will vary based on the candidate’s background and the department’s needs. The decision is entirely at the discretion of the Department Head based on pre-established recruitment goals. For example, in the research setting, a Department Head may consider advancing a Research Fellow to Instructor based on evidence of emerging independence, such as obtaining intra- or extramural funding, or scholarly achievements, such as successful first author publications. For clinical fellows, completion of clinical fellowship training coupled with responsibility for clinical practice may be among the criteria a Department Head will consider before proposing an individual for an Instructor appointment.

The appointment of an Instructor represents three commitments: 1) on the part of the department to the mentorship and career support of the new faculty member; 2) on the part of Harvard Medical School to provide faculty development programs, including orientation, to the new faculty member; and 3) on the part of the Instructor to contribute to the academic mission of the school through teaching Harvard learners a minimum of 50 hours per year and participation in the scholarly enterprise.
Criteria for appointment:
All candidates for appointment as Instructor will:

- Hold a doctoral degree.
- Have completed at least one postdoctoral training program or have a documented exception for postdoctoral training (*).
- Hold an active hospital appointment at a primary affiliate of HMS or be appointed in a Basic and Social Science departments (HMS Quad).
- Not concurrently be serving primarily in a training role, such as in the position of chief resident or fellow (**).
- If clinically active, be licensed and approved by the hospital credentialing committee or under review for credentialing at the primary affiliate.
- Have evidence of teaching at Harvard for a minimum of 50 hours annually documented in the CV or, for first appointment, intended teaching responsibilities documented in Department Head nominating letter. Teaching is broadly defined to include the teaching of medical, dental, graduate and undergraduate students, trainees, or peers at any Harvard institution.
- Agree to comply with HMS policies and procedures, including conflict of interest disclosures and Use of Harvard Name requirements.
- Meet criteria for a full-time or part-time appointment.

(*) In rare instances, postdoctoral training would not be the norm prior to a faculty appointment, such as in the case of some social scientists. The nominating letter should address this exception.

(**) Some faculty will seek additional, part-time training through a fellowship program while still primarily serving as a faculty member. Departments will be asked to explain the percent effort dedicated to this additional training role in determining whether the Instructor or Fellow title is appropriate.

Search documentation must be provided at the time of first Instructor appointment unless the candidate meets criteria for exception to a search, see section 5.3.3. If the latter case applies, documentation of the exception should be included in the letter requesting appointment.

10.2. Expectations of Instructor, Appointing Department, and Harvard Medical and Dentals Schools

Expectations of the Instructor:
As with all faculty appointments, Instructors will participate in the teaching mission of the Faculty of Medicine with rare exception. Teaching is defined broadly to include the teaching of medical, dental and graduate students; residents; research and clinical fellows; and peers. The minimum expectation is 50 hours of teaching Harvard learners at Harvard and/or its affiliated institutions per year. Plans for teaching activities must be included in the initial nomination for appointment and annual documentation of teaching activities must be included in the request for reappointment and be documented in the CV. Faculty holding the Instructor title must follow all policies of the Faculty of Medicine, including the HMS Conflict of Interest and Use of the Harvard Name policies.

Expectations of the Department:
The department agrees to provide the Instructor mentorship represented by, at a minimum, appointing of a faculty mentor for the Instructor and an annual career conference at which expectations for advancement in the department will be addressed. The initial letter of appointment will note the name of the mentor and each reappointment will document the completion of an annual career conference. In addition, every five years the department will conduct a formal review beyond the annual mentorship career conference and will submit documentation of the review to the Dean. If the department opts not to renew the Instructor appointment, the Department Head or designee will provide written notice of non-renewal to the faculty member, with a copy to the Office for Faculty Affairs, three months prior to the end of the appointment. Terminations for cause do not require three months written notice.
Expectations of HMS/HSDM:
The school will offer an orientation to first year Instructors, including presentations by key offices of the Dean and opportunities to meet with leaders from the HMS/HSDM community. The school will maintain a website that will provide information about opportunities to teach, training programs for teachers through the Center for Teaching and Learning, and information about the process for academic promotion. Resources for faculty development, including competitive intramural and extramural fellowships and leadership training will be made available. Faculty will have access to the services of the HMS/HSDM Ombuds office for addressing concerns related to their appointment at Harvard.

10.3. Procedures for First Appointment of Instructor

**Process Flowchart At-A-Glance for First Appointment of Instructor**

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The Department Head writes to the Dean of the Faculty of Medicine requesting approval for reappointment as Instructor.</td>
</tr>
</tbody>
</table>

**Detailed Process for First Appointment as Instructor**

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | On an annual basis, the Department Head submits to the OFA:  
  - The teaching hours and area of activity as well as the current mentor name and date of the mentoring conference for the previous year are submitted in batch format via the RAAP Process, which takes place in the spring each academic year for reappointments effective July 1. |
|      | Every 5 years, the Department Head submits to the Office for Faculty Affairs:  
  - Letter describing the candidate’s role in the department, including teaching responsibilities, candidate’s potential for academic advancement, and statement of integrity in addition to confirmation of items listed below.  
    - Candidate holds active hospital appointment at primary affiliate (those appointed through an affiliated institution) or in an HMS Quad department.  
    - Candidate has been re-credentialed (if a clinical appointment)  
    - Distribution of effort by job location  
    - Current teaching activities  
    - That candidate not currently serving as a trainee**  
    - Name of candidate’s mentor  
    - Date that the annual career conference was completed  
    - That HMS policies have been re-reviewed with the candidate  
    - Conflict of Interest forms on file with the department are up to date  
    - Candidate’s current home address, phone and email  
  - Candidate’s CV in required FoM format, including documentation of teaching activities. |
2. Review by the Office for Faculty Affairs
   • Submission will be reviewed to confirm whether the candidate met the minimum teaching expectations and has received annual mentoring towards promotion to the next faculty rank.

   Every 5 years, the Office for Faculty Affairs also confirms that the faculty member is active in the department and the primary affiliate, in good standing.

3. Notification of approval
   • Department Administrator receives confirmation of appointment approval

10.4. Procedures for Reappointment of Instructors

The Instructor appointment may be renewed annually. This is typically requested through the annual reappointment process which documents, in batch format for all annual reappointments in a given department, teaching hours and mentor conferences.

In addition, every five years the department will conduct a formal review beyond the annual mentorship career conference and will submit documentation of the review to the Dean.

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</thead>
</table>
| 1. The Department Head writes to the Dean requesting approval for reappointment as Instructor. | Every 5 years, the Department Head submits to the Office for Faculty Affairs:  
   • Letter describing the candidate’s role in the department, including teaching responsibilities, candidate’s potential for academic advancement, and statement of integrity in addition to confirmation of items listed below.  
     o Candidate holds active hospital appointment at primary affiliate (those appointed through an affiliated institution)  
     o Candidate has been re-credentialed (if a clinical appointment)  
     o Distribution of effort by job location  
     o Current teaching activities  
     o That candidate not currently serving as a trainee**  
     o Name of candidate’s mentor  
     o Date that the annual career conference was completed  
     o That HMS policies have been re-reviewed with the candidate  
     o Conflict of Interest forms on file with the department are up to date  
     o Candidate’s current home address, phone and email  
   • Candidate’s CV in required FoM format, including documentation of teaching activities. |
| 2. Review by the Office for Faculty Affairs | Submission will be reviewed to confirm whether the candidate meets the expectations for a full-time or part-time appointment. |
| 3. Notification of approval | None. Department Administrator has access to reporting data to confirm the roster of active appointments. |

(**) Some faculty will seek additional, part-time training through a fellowship program while still primarily serving as a faculty member. Departments will be asked to explain the percent effort dedicated to this additional training role in determining whether the Instructor or Fellow title is appropriate.

10.5. Procedure for Appointment as Corresponding Member of the Faculty

Faculty who retire at the rank of Instructor, have completed at least 10 years of service to Harvard University, reached the age of 60, and will maintain some role in the academic department may transition to Corresponding Member of the Faculty status at the time of retirement if requested by the Department Head. Corresponding Members of the Faculty hold active appointments that must be renewed annually and, to the extent that they and their Department Heads wish, continue to participate in the academic life of the community.
### Detailed Process for Appointment as Corresponding Member of the Faculty

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | Department Head requests transition to Corresponding Member of the Faculty status | Department Head submits the following document to: facappt@hms.harvard.edu  
- Letter to the Dean requesting the transition to Corresponding Member of the Faculty status and confirming that the incumbent has been informed of the intended change in status  
- Documentation of why continued appointment is appropriate, noting specific activities in the department that will continue following retirement. |
| 2.   | OFA reviews request and confirms approval | OFA reviews request and sends notice of approval to department head. Appointment must be renewed annually. |

### Additional Resources for Section 10: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)
- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
11. **Appointment of Lecturers**
   
   **As of July 2016**

11.1. **Definition, Eligibility, Criteria, Term of Appointment**

**Definition:**
The title of Lecturer is reserved for individuals whose primary faculty role is to contribute to the teaching mission of the Faculty of Medicine. Teaching is defined broadly to include the teaching of the following Harvard learners: medical, dental and graduate students; residents, fellows and post-doctoral students; and peers.

**Eligibility:**
Faculty appointed to the rank of Lecturer must commit a minimum of 50 hours of teaching per year. As a rule, faculty who hold the Lecturer title will not be pursuing promotion along the academic ladder, although transition to the ladder (Instructor, Assistant, Associate or Full Professor) will be dependent on nomination from a Department Head, meeting the academic criteria for a ladder appointment and meeting the requirements for a search. Faculty whose role in the Faculty of Medicine is limited to less than one day per week or who hold voting appointments at other academic institutions would be candidates for annual Lecturer appointments.

**Criteria for Appointment:**
All candidates for appointment as Lecturer will:

- Hold an active hospital appointment at a primary affiliate of HMS or be appointed in a quadrangle Basic and Social Science department
- Not concurrently be serving primarily in a training role, such as in the position of chief resident or fellow (*)
- If clinically active, be licensed and approved by the hospital credentialing committee or under review for credentialing at the primary affiliate
- Have evidence of teaching at Harvard for a minimum of 50 hours annually documented in the CV or, for first appointment, intended teaching responsibilities documented in Department Head nominating letter. Teaching is broadly defined to include the teaching of medical, dental, graduate and undergraduate students, trainees, or peers at any Harvard institution.
- Agree to comply with HMS policies and procedures, including Conflict of Interest disclosures and Use of Harvard Name requirements.
- Meet criteria for a full-time or part-time appointment

(*) Some faculty will seek additional, part-time training through a fellowship program while still primarily serving as a faculty member. Departments will be asked to explain the percent effort dedicated to this additional training role in determining whether the Lecturer or fellow title is appropriate.
Term:
The types of Lecturer Appointments are: Lecturer, Part-time (Annual, non-voting); Lecturer, Part-time (3 year appointment, voting); Lecturer (Full-time; annual, non-voting); Lecturer (Full-time, 3 year appointment, voting); Senior Lecturer, Part-time (Annual, non-voting); Senior Lecturer, Part-time (3 year appointment, voting); Senior Lecturer (Full-time, annual, non-voting); Senior Lecturer (Full-time, 3 year appointment, voting).

Initial appointment for a Lecturer, Part-time or Lecturer (Full-time) or Senior Lecturer, Part-time or Senior Lecturer (Full-time) is for one year. If after 3 consecutive 1-year terms a Lecturer has demonstrated excellence in teaching as documented through evaluations, performance reviews, peer feedback and other mechanisms, a Department Head may propose the candidate for a 3 year term. For further information on achievements in teaching to be considered at the time of reappointment, see section 6.4.

Review Process:
Candidates for appointment as Lecturer are reviewed by the Office for Faculty Affairs and/or by the Lecturer Subcommittee of the Promotions, Reappointments and Appointments Subcommittee. Candidate for appointment as Senior Lecturer are reviewed by the Dean for Academic and Clinical Affairs and/or by the Lecturer Subcommittee of the Promotions, Reappointments and Appointments Subcommittee.

Expectations of Lecturers

As with all faculty appointments, Lecturers will participate in the teaching mission of the Faculty of Medicine. Teaching is defined broadly to include the teaching of medical, dental and graduate students; residents; research and clinical fellows; and peers. The minimum expectation is 50 hours of teaching at Harvard and/or its affiliated institutions per year. Plans for teaching activities must be included in the initial nomination for appointment and annual documentation of teaching activities must be included in the request for reappointment. Faculty holding the Lecturer title must follow all policies of the Faculty of Medicine, including the HMS Conflict of Interest and Use of the Harvard Name policies. Faculty titles, full-time or part-time, will align with the level of contribution to the HMS/HSDM community.

11.2. Procedures for First Appointment of Lecturers

Process Flowchart At-A-Glance for First Appointment of Lecturer

Step 1
Department
Department head (or designee) writes to the Dean requesting approval for an Lecturer appointment

Step 2
Office for Faculty Affairs
Review by the Office for Faculty Affairs

Step 3
Office for Faculty Affairs
Notification of approval
Detailed Process for First Appointment as Lecturer

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | The Department Head writes to the Dean requesting approval for a Lecturer appointment. Department Head submits to the Office for Faculty Affairs:  
- Quick hire form in PeopleSoft  
- Nominating letter describing the candidate’s role in the department, including anticipated teaching responsibilities, confirmation of part-time or full-time role.  
- Documentation of eligibility criteria via the faculty profile form by confirming minimum teaching commitment, work location, and assignment of a mentor  
- Candidate’s CV in required FoM format |
| 2.   | Review by the Office for Faculty Affairs and/or the Lecturer Subcommittee of the Promotions, Reappointments and Appointments Committee. Submission will be reviewed to confirm whether the candidate meets the expectations for a full-time or part-time appointment. |
| 3.   | Notification of approval Department Administrator receives confirmation of appointment approval |

11.3. Procedures for Reappointment of Lecturers

The Lecturer (Annual) and Senior Lecturer (Annual), both full and part-time appointments must be renewed annually; the Lecturer (3 year) and Senior Lecturer (3 year), both full and part-time appointments, are reviewed for renewal every three years. This is typically requested through the annual reappointment process for annual Lecturer appointments, and in the term reappointment process for voting (3 year) appointments. These processes document the teaching efforts supporting the reappointments in a given department.

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</table>
| 1.   | The Department Head submits documentation of teaching activities over the past academic year to support the reappointment as Lecturer  
- The teaching hours and area of activity are submitted in batch format via the RAAP Process, which takes place in the spring each academic year for reappointments effective July 1.  
- Departments should also use this process to confirm the individual’s affiliation with the department is active and in good standing. |
| 2.   | Review by the Office for Faculty Affairs  
- Submission will be reviewed to confirm whether the candidate met the minimum teaching expectations. |
| 3.   | Notification of approval  
- None. Department Administrator has access to reporting data to confirm the roster of active appointments. |

Additional Resources for Section 11: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)
- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
12. Visiting Faculty

12.1. Definition, Eligibility, Criteria, Term of Appointment

A visiting appointment is provided for individuals who are visiting the University as teachers and investigators for variable periods.

Eligibility
Faculty offered a visiting appointment must hold a rank at another accredited institution or a scientific appointment in industry. Visiting appointments are limited to two full years within a 24 consecutive month period and may be renewed only six years after the end date of the last visiting appointment the individual held at HMS. For example, if a faculty member visits for one month in one year and six months in a second year, the next time a visiting appointment would be available would be 6 years after the end of the second appointment.

Criteria for appointment
A visiting title is appropriate for individuals from other academic institutions or industry coming to HMS or HSDM for one week or more as an invited Professor or intermittently throughout an academic year, and who are:

- From other institutions and on sabbatical or a leave of absence from their home institution for up to 24 months or
- Involved in on-site research collaboration while the individual is working at HMS, HSDM, or one of the affiliated institutions.

A visiting title is also appropriate as a 2 year academic position after becoming an emeritus faculty member at a home institution.

Rank of Appointment
The rank of a Visiting Faculty member should be identical to that in the visitor's home university and may be Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, Visiting Instructor or, if professorial titles are not in use at the home institution, Visiting Lecturer. For scientists from non-university scientific institutions with no academic titles, an appointment as Visiting Scientist may be appropriate.

Term
Visiting Faculty members are typically appointed for 12 months or less. In some instances, visiting appointments may be extended for another 12 month period with approval from the Office for Faculty Affairs.
Appointment after Completion of Term
Visiting Faculty who continue to contribute to the teaching mission of HMS/HSDM for at least 50 hours per year following their maximum two year visiting term may be considered for a Lecturer, part-time appointment.

Note: A Visiting Faculty member cannot become a term or permanent faculty member unless s/he is found to be the leading candidate in a full and open search.

Visiting Faculty Involved in Clinical Care
The academic department assumes responsibility for all licensing and credentialing for those individuals who will be involved in clinical care during the period of the visiting appointment.

12.2. Procedures for Appointment of Visiting Faculty

Process Flowchart At-A-Glance for Appointment of Visiting Faculty

Detailed Process for Appointment as Visiting Faculty Member

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1.   | The Department Head writes to the Dean requesting approval for a visiting appointment. Department Head submits to the Office for Faculty Affairs:  
- Quick hire form in PeopleSoft  
- Nominating letter describing the need for the appointment and the expectations of the individual as well as the length of the appointment (not to exceed 24 months)  
- Candidate’s CV and bibliography. |
| 2.   | Review by the Office for Faculty Affairs  
- Appointments are entered in the HMS on-line appointment system. |
| 3.   | Notification of approval  
- Department receives automated notification once the appointment has been approved. |

Additional Resources for Section 12: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)
- Checklists, Forms, Guides and Templates (see by section)  
- Faculty of Medicine CV Guidelines  
- Glossary
13. Joint Appointments within the Faculty of Medicine, across The Schools of Harvard, and Faculty Appointments at non-Harvard Institutions

As of July 2016

13.1. Policies and Procedures for Joint Appointments in the Faculty of Medicine

1. Joint appointments within the Faculty of Medicine should be made only in exceptional cases and should recognize a significant contribution to the teaching, research, or clinical programs of a second department. Occasional contributions to teaching may be acknowledged by a notice of affiliation appended to the departmental faculty listing. Infrequent contributions need not be recognized.

2. At the outset, a clear decision should be made regarding which department bears the primary responsibility for an individual faculty member’s salary, benefits, space, career advancements, and promotions. That department is considered the ‘primary’ appointing department.

3. At the time of initiation of a search for a joint appointee, whether or not at Professorial rank, the distribution of support should be negotiated between the departments. With each reappointment below Professorial level, there should be a reassessment of the individual’s interests and the departments’ needs to determine the distribution of support. This re-evaluation is intended to avoid the hazard of one department paying for an individual who spends all her/his time in a second department.

4. In some instances, a faculty member appointed originally in one department may change the direction of her/his academic or clinical work so that a joint appointment is indicated. Under these circumstances, the two Department Heads should carry on the same negotiations as described above.

5. If an appointment below Professorial level is under consideration, there should be an agreement at the outset that the appointments will be coterminous and that each department will continue support in accordance with the original agreement until the expiration of the term (unless by mutual agreement the distribution of support is readjusted).

6. Secondary appointments are renewable appointments available for five year terms for Professors and Associate Professors and three year terms for Assistant Professors.

7. When a junior faculty member is considered for a joint appointment between departments, care must be given to problems of establishing criteria of excellence at the time of promotion. Where will scholarly works be published? Which department will judge, or will both? What opportunities will there be for a permanent position in an interdisciplinary area? How will strength be maintained in the primary discipline?
8. To make a simultaneous joint appointment or promotion at the Assistant or Associate Professor level, each department should follow the normal process for making appointments, see sections 8.2 and 9.2. Both recommendations will then be scheduled for consideration at the same meeting of the Promotions, Reappointments, and Appointments Committee. If a joint appointment or promotion is considered simultaneously, the total number of letters required is reduced. For Associate Professor candidates, each department is expected to obtain 4 letters – two internal Harvard letters, two external letters, of which one is impartial. An impartial letter writer is someone who has not trained or trained with the candidate, worked with the candidate, written with the candidate or collaborated with the candidate, and is not from the candidate’s prior home institution(s). A minimum of 8 total letters is submitted. For Assistant Professor candidates, each department is expected to obtain 3 letters – two internal letters and 1 external letter. No impartial letter is required. Therefore, a minimum of 6 total letters is submitted.

9. If an appointment has already been made in one department, the second department should follow the regular appointment/promotion process and should include, in the submitted recommendation, documentation that the first department is in agreement with the request for a second appointment. If the second appointment is considered after the first appointment is complete, the full complement of letters (see sections 8.2 and 9.2) is required for the second appointment.

10. Joint appointments between departments for annual appointees are not encouraged. For questions, contact: facappt@hms.harvard.edu.

13.2. Procedures for Obtaining Joint Appointments for Professors in the Faculty of Medicine

- **Step 1**
  Department
  Letter to Dean requesting a Joint (second) Appointment as Professor

- **Step 2**
  Office for Faculty Affairs
  Review by Council of Academic Deans (for clinical departments) or the Preclinical Chairs (for basic science departments) or Social Science Council (for social science departments)

- **Step 3**
  Office for Faculty Affairs
  Dean’s recommendation submitted to the University

- **Step 4**
  University
  University reviews recommendation from Dean and renders a decision

- **Step 5**
  University
  University communicates outcome to the Office for Faculty Affairs
Detailed Process for Joint Appointments for Professors in the Faculty of Medicine

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Letter to Dean requesting a Joint (second) Appointment as Professor</td>
</tr>
<tr>
<td></td>
<td>• Letter from the Head of the second appointing department proposing the second appointment to the Dean.</td>
</tr>
<tr>
<td></td>
<td>• This letter should contain a description of the candidate, and an explanation of the significant contribution to the teaching, research and/or clinical programs that would warrant the second appointment.</td>
</tr>
<tr>
<td></td>
<td>• Co-signature on this letter or a separate letter from the Head of the primary department, indicating approval.</td>
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<tr>
<td></td>
<td>• For faculty in clinical departments, documentation of approval from the Executive Committees of the secondary department.</td>
</tr>
<tr>
<td></td>
<td>• For faculty from institutions that have Senior Appointments Committee, documentation of approval from that committee.</td>
</tr>
<tr>
<td></td>
<td>• Recent Faculty of Medicine CV of the candidate</td>
</tr>
<tr>
<td></td>
<td>• Two letters from Professors in the secondary department, documenting the rationale for the secondary appointment.</td>
</tr>
<tr>
<td>2.</td>
<td>Review by Council of Academic Deans (for clinical departments) or the Preclinical Chairs (for basic science departments) or Social Science Council (for social science departments).</td>
</tr>
<tr>
<td></td>
<td>A recommendation of these bodies is advisory to the Dean.</td>
</tr>
<tr>
<td>3.</td>
<td>Dean’s recommendation submitted to the University</td>
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<tr>
<td></td>
<td>• If approved by the Dean, the dossier is forwarded to the provost.</td>
</tr>
<tr>
<td></td>
<td>• If approved by the provost, the Dean’s office informs the department and the candidate.</td>
</tr>
<tr>
<td>4.</td>
<td>University reviews recommendation from Dean and renders a decision</td>
</tr>
<tr>
<td></td>
<td>The University reviews and renders a decision regarding the proposed appointment for each candidate.</td>
</tr>
<tr>
<td>5.</td>
<td>University communicates outcome to the Office for Faculty Affairs</td>
</tr>
<tr>
<td></td>
<td>• A final decision is communicated to the Office for Faculty Affairs</td>
</tr>
<tr>
<td></td>
<td>• The Office for Faculty Affairs informs the Department Head</td>
</tr>
<tr>
<td></td>
<td>• The Department Head informs the candidate</td>
</tr>
</tbody>
</table>

13.2.1. Joint Appointments between Schools of Harvard University

1. Joint appointments at voting faculty rank (Assistant Professor and above) should be used to recognize a significant commitment to a second faculty. Occasional contributions to teaching should be noted by an annual appointment, such as Lecturer, proposed by the involved school. Infrequent contributions (e.g., one or two lectures) need not be recognized with an appointment.

2. At the outset, a clear decision involving the Deans of both schools should be made regarding which school bears the primary responsibility for the individual faculty member’s salary, benefits, space, teaching obligations, career advancement, and promotions.

3. At the time of initiation of a search for a joint appointee, whether or not at Professorial rank, the distribution of support should be negotiated between the faculties or departments. With each reappointment below Professorial level, there should be a reassessment of the individual’s interests and the departments’ needs to determine the distribution of support. This re-evaluation is intended to avoid the hazard of one department paying for an individual who spends all her/his time in a second faculty.

4. When the search for a Professor has been conducted entirely by one faculty, ordinarily the title in a second faculty should be Lecturer or member of the faculty. In those instances when the nature of a faculty member’s academic work has changed so that the purpose of the work is benefited by a joint appointment at the Professorial level, the two Deans should carry on the same negotiations as those described above.

5. If an appointment below Professorial level is under consideration, there should be an agreement at the outset that the appointments will be coterminal and that each department will continue support in
accordance with the original agreement until the expiration of the term (unless by mutual agreement the
distribution of support is readjusted).

6. When a junior faculty member is considered for a joint appointment between departments in different
faculties, care must be given to problems of establishing criteria of excellence at the time of promotion.
Where will scholarly works be published? Which school will judge, or will both? What opportunities will
there be for a permanent position in an interdisciplinary area? How will strength be maintained in the
primary discipline?

### 13.2.2. Joint Appointments between the Faculty of Medicine and non-Harvard Academic Institutions

1. A faculty member who holds a voting appointment, part-time or full-time, at Harvard Medical School (i.e.,
an appointment at the level of Assistant Professor, Associate Professor, Professor, three year Lecturer,
three year Senior Lecturer, or Principal Associate) is not, in general, permitted to hold a voting appointment
on the faculty of any other non-Harvard academic institutions.

2. Unusual situations may warrant an exception to the general policy outlined above. Accordingly, the Dean,
upon the recommendation of the Committee on Promotions, Reappointments, and Appointments, or the
Subcommittee of Professors should have discretion to recommend exceptions to the non-dual appointment
policy to the Provost, subject to such conditions as may be appropriate to the circumstances.

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**Additional Resources for Section 13:** [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
14. Non-Faculty Appointments

As of July 2016

14.1. Definitions of Training Status Appointments

- **Clinical fellow**, for interns, residents, fellows, or individuals in other clinical training positions in Harvard-affiliated institutions. This appointment can be held only for the duration of formal clinical training.

- **Research fellow**, for individuals who hold an advanced degree in an appropriate field and who have chosen to Associate themselves with members of the faculty as postdoctoral fellows to develop their research ability and skill.

14.2. Definitions and Criteria for Staff Associate Appointments

**Associate appointments:**

- Professional non-faculty appointments, recommended by a department for persons working in a technical, educational, or professional capacity in association with members of the faculty. Their contribution is primarily in support of research, service, or teaching programs (see criteria below).

- Annual Associate appointments may be recommended directly to the Office for Human Resources by Department Heads subject to the criteria indicated below. These appointments may also be reviewed by the appointing department executive committee if such is the agreed upon practice within that particular group.

- Principal Associate is a term appointment, recommended by the Department Head to the Dean. A nominating letter, a CV in FoM format, four letters of support (typically from Harvard faculty) and two examples of the individual's most significant scholarly work are submitted to the Office for Faculty Affairs.

<table>
<thead>
<tr>
<th>Title</th>
<th>Term of Appointment</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Associate</td>
<td>1 year</td>
<td>Contribute significantly to the design and execution of experiments or research projects, working in collaboration with the research sponsor. Hold an advanced degree appropriate to the field of research or a combination of related education and a high level of research experience. Incumbents are not generally accorded the status of principal investigator, but authorization may be granted upon recommendation of the Department Head. This appointment may be used as a first appointment after research training.</td>
</tr>
<tr>
<td>Teaching Associate</td>
<td>1 year</td>
<td>Provide teaching support for an educational program under the direction of a Department Head or the Dean for Medical Education. A professional degree in a field related to the teaching program will be required.</td>
</tr>
<tr>
<td>Associate</td>
<td>1 year</td>
<td>Provide support services (professional and technical) for a program or research project under the direction of a principal investigator or for a department or clinical service under</td>
</tr>
<tr>
<td>Position</td>
<td>Tenure</td>
<td>Description</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>---------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Principal Associate</td>
<td>3 year</td>
<td>Provide significant support services (professional and technical) for a program or research project under the direction of a principal investigator or for a department or clinical service under the direction of a faculty member. Hold higher degree in a field directly related to the work or a combination of related education and substantial experience. Incumbents are not generally accorded the status of principal investigator, but authorization may be granted upon recommendation of the Department Head.</td>
</tr>
</tbody>
</table>

**Additional Resources for Section 14:** [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
15. **Absences, Leaves, Re-instatement after Breaks in Service**

As of July 2016

15.1. **Leave of Absence**

If a faculty member intends to be away for an extended period of time, not exceeding three months, the Department Head or designee should be notified, and plans for coverage of academic and clinical responsibilities should be shared.

A faculty member who intends to be away for more than three months will need approval from the Department Head and the Dean’s office for a leave of absence. There is no guarantee that a leave will be granted by the department or the Dean. The guidelines for requesting a leave of absence are as follows:

- A letter from the Department Head (or faculty member with written approval of the Department Head), outlining the duration and purpose of the leave should be submitted to the Office for Faculty Affairs.
- Faculty may not obtain a leave of absence to work for another academic institution other than in a visiting or adjunct capacity.
- A letter of approval from the Dean’s office must be issued prior to commencement of the leave of absence.
- In accordance with the Harvard Corporation policy reaffirmed on October 6, 1975, leaves of absence will be granted for periods up to one year with the possible renewal for one more year. Leaves of absence will not be extended beyond two consecutive years. Any appointment, tenured or otherwise, automatically terminates at the end of two years leave of absence if the faculty member does not return.
- Leaves of absence may be requested no more frequently than every seventh year.
- Granting of a leave of absence indicates that the position is guaranteed upon return of the faculty member to Harvard Medical School and, as applicable, the affiliated institution as long as the return is prior to the end of the leave period.
- Faculty who seek leaves of absence to work in the for-profit sector should consult with the Office for Academic and Research Integrity and/or their affiliate outside activities office regarding the application of the Faculty of Medicine Policy on Conflicts of Interest and Commitment.

15.2. **Sabbatical Leave for Professors**

Professors without limit of time may request sabbaticals after six years of service while in residence at the University. Sabbaticals may not be requested in the year prior to retirement. Sabbaticals may be requested for one year on half pay or half a year on full pay. Sabbatical pay is equivalent to academic salary only. For hospital based Professors, the Medical School and the hospital share in payment according to their fractional contributions to academic salary. Sabbaticals must be spaced in a way to avoid compromising the capacity of a department to meet its academic obligations.
Procedure to request sabbatical leave:

- Letters of request from the Professor to the Dean should indicate the intended length and goal of the sabbatical leave.
- An accompanying letter from the Department Head should indicate to the Dean approval of the Professor’s request and the plans for covering the academic and clinical responsibilities of the faculty member making the application.
- A letter of approval from the Dean’s office must be issued prior to assumption of the sabbatical leave.
- Faculty on sabbatical leave will continue to be governed by Harvard Medical School’s Faculty Policies on Integrity in Science including the Policy on Conflicts of Interest and Commitment.
- Faculty who seek sabbaticals to work in the for-profit sector should consult with the Office for Academic and Research Integrity and/or their affiliate outside activities office regarding the application of the Faculty of Medicine Policy on Conflicts of Interest and Commitment.

15.3. Reinstatement after Break in Service

Faculty members who have terminated their HMS/HSDM appointments may be reinstated if their time away has been less than two years. The process requires a written letter to the Dean from the individual’s Department Head requesting reinstatement and must include specific information about the individual’s activities during the absence. The Office for Faculty Affairs and the Council of Academic Deans, Social Science Council or Preclinical Chairs, as appropriate, will review the letter and inform the Department Head requesting the faculty reinstatement of the outcome. Faculty who have had a break in service that exceeds two years may only return to an appointment at HMS following a search unless they meet criteria for an exception to a search, see section 5.3.3.

Additional Resources for Section 15: [http://www.fa.hms.harvard.edu/](http://www.fa.hms.harvard.edu/)

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
16. Policies for Harvard Paid Faculty
As of July 2016

Harvard's size and decentralized structure allow for diverse sets of rules among the University's different entities. To find the full array of policies that apply across the University to ensure a safe, fair work experience for paid employees, please visit: http://provost.harvard.edu/pages/policies.

For general information about HMS/HSDM human resource policies for faculty employees, please visit: https://hms.harvard.edu/humanresources/policies-and-guidelines. All other faculty should consult the Human Resources offices at the institutions by which they are paid.

The following sections apply to faculty paid by Harvard University with one exception: rules regarding the tenure clock and tenure clock extensions are only relevant to faculty who hold primary appointments in the Basic and Social Science departments and apply regardless of employer.

16.1. Childcare Resources

Harvard University provides employees information about and access to a variety of child care resources, including cooperative day care sites, childcare centers, and family day care. For more information, see: http://hms.harvard.edu/humanresources/worklife-harvard-longwood/child-care-information and http://hr.harvard.edu/childcare/.

16.2. Family and Medical Leave Act (FMLA)

Pursuant to the Family and Medical Leave Act (FMLA) Harvard provides up to 12 weeks of unpaid, job-protected leave to eligible employees of the University (to be taken and completed during a 12-month period) for the following reasons:
- Incapacity due to pregnancy, prenatal medical care, or child birth;
- To care for the employee’s child after birth or placement for adoption or foster care;
- To care for the employee’s spouse (which includes qualified domestic partner as a matter of Harvard policy), son or daughter, or parent who has a serious health condition; or
- For a serious health condition that makes the employee unable to perform the employee’s job.

For more specific information on the Harvard University FMLA policies see: http://hr.harvard.edu/staff-personnel-manual/time-away-work/family-medical-leave
16.3. Medical Leave

Faculty may request up to 6 months of paid medical leave, which would run concurrent with leave taken through the Family Medical Leave Act (FMLA). Requests for medical leave should be brought to the attention of the Department Head and Department Administrator. Faculty and administrators should consult with the Office for Faculty Affairs and Human Resources to request paid medical leave and to provide the necessary documentation.

Full-time ladder faculty members who are birth mothers may take eight weeks of paid medical leave out of their allotted medical benefit. The paid medical leave will not extend beyond the faculty member’s appointment. These medical leaves count toward the fulfillment of the FMLA 12-week or Massachusetts Parental Leave Act (MPLA) eight-week leave entitlement if the reason for the leave meets the FMLA or MPLA criteria.

16.4. Parental Leave

To support the ability of faculty to sustain their academic careers at the time of birth or adoption, HMS/HSDM has developed a Parental Leave Benefits Program for faculty (Lecturers, Instructors, Assistant Professors, Associate Professors, and Professors). Eligible faculty are those who receive salary support either from the school or by grants or sponsored funds administered through HMS/HSDM and are not reimbursed to HMS/HSDM by any other organization or source.

The faculty benefits program at HMS/HSDM provides 4 weeks of parental leave at 100% pay for birth mothers, adoptive parents and partners of birth mothers. This leave runs concurrently with the Family and Medical Leave Act (FMLA) that provides job protection for up to 12 weeks of leave per year and the Massachusetts Parental Leave Act (MPLA) which provides that a faculty member who has been employed for at least three months is entitled to eight weeks of full leave, which need not be paid, to care for a newborn or newly-adopted child. Birth mothers may request additional medical leave (see above), typically up to 8 weeks, to cover the medical recovery from the birth of a child.

To request parental leave, the process is as follows:

- Inform Department Head and Department Administrator as early as possible for planning purposes
- Inform HMS/HSDM Human Resources office and complete Parental Leave documents including any necessary funding source costing code changes in payroll.

16.5. Parental Teaching Relief/Workload Reduction

School policies provide that a faculty member who assumes substantial and sustained responsibility for the care of a newborn or newly adopted child as the primary caregiver is entitled to a workload reduction for up to one semester on a full-time basis or over the course of two semesters or one year on a part-time basis. The reduction must be taken within the first year of the birth or adoption and may be requested following up to two birth or adoption events while on faculty. Faculty may request additional consideration for workload reduction for a third birth or adoption.

A faculty member using workload reduction would be the primary caregiver for at least twenty hours during the workweek, normally during the hours of 9AM-5PM, Monday through Friday. The faculty member requesting workload reduction should provide a statement to confirm primary caregiver status. Workload reduction is not intended for parents whose newborn or newly adopted child is cared for more than half the time by either a spouse/partner and/or a childcare provider.

To request workload reduction, the faculty member should provide the Department Head and Department Administrator a statement of parental activities as described above. The Department Head should submit the documentation and Departmental approval to the Office for Faculty Affairs.
16.6. Research Resources and Policies

For those employed by HMS/HSDM, the Sponsored Programs Administration (SPA) offices at HMS/HSDM act as the institutional representative for the President and Fellows of Harvard University for the administration of sponsored projects. The SPA works with Faculty and staff to ensure that proposals and awards conform to sponsor guidelines and University policies. For more information about research resources and policies, please visit: https://hms.harvard.edu/research/research-administration

16.7. Sick Leave Policy

Faculty earn one hour of sick time for every 30 hours worked, up to a maximum accrual of 40 hours of sick time per fiscal year. Faculty have access to use earned sick time after 90 days of employment. Sick time earned in one year cannot be carried forward to a subsequent year, although those who have a break in service of less than one year will retain an earned sick time balance of up to 40 hours. Faculty may access their full entitlement at the start of each academic year, except that individuals hired on a semester basis instead receive their full entitlement at the start of the semester. Unused sick time does not roll over from one academic year to the next.

Employees can use paid sick time to care for a physical or mental illness, injury or condition affecting the employee or the employee’s child, spouse, parent, or parent of a spouse, to attend routine medical appointments for these individuals, and to address the psychological, physical or legal effects of domestic violence on the employee or the employee’s family member. Individuals may not be treated adversely because they have exercised their rights under the Law, including in taking earned sick time.

Faculty should follow their Department’s normal protocols for advance notice (unless the need for sick time is not foreseeable), including when the need for sick time will conflict with normally scheduled class hours. For questions concerning sick leave entitlement, please contact the Office for Faculty Affairs at 617-432-1540 or the Human Resources Office at 617-432-2035.

16.8. Tenure Clock and Tenure Clock Extensions

For faculty whose primary appointment is based in the quadrangle Basic and Social Science departments, there is a limit of 11 years at voting faculty rank (see section 4.1) prior to appointment as Professor without limit of time. Most faculty will have 2 three-year terms as Assistant Professor and 1 five-year term as Associate Professor, although there is no requirement that a candidate serve the full 11 years prior to tenure review.

Extension of the 11-year tenure clock may be permitted in recognition of the often-conflicting obligations of parental and career responsibilities. It is the policy of the Faculty of Medicine to grant an extension of time to a faculty member who takes the major responsibility for parenting in a family. Extensions are granted for one year on the occasion of the birth or adoption of a child, up to a total of two years for two or more children, and are added to the current appointment as well as the 11-year rule for tenure consideration. Extensions are requested in a letter from the Department Head to the Dean and are reviewed in the Office for Faculty Affairs.

Additional Resources for Section 16: http://www.ta.hms.harvard.edu/

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary
17. Faculty of Medicine Curriculum Vitae (CV) Guidelines  
   As of July 2016

For general instructions for preparation of the Faculty of Medicine Curriculum Vitae, please visit:  
http://www.fa.hms.harvard.edu/

Additional Resources for Section 17: http://www.fa.hms.harvard.edu/

- Checklists, Forms, Guides and Templates (see by section)
- Faculty of Medicine CV Guidelines
- Glossary