

**Appointment and Promotion Procedures for Tenure Track Faculty  
In The Krieger School of Arts and Sciences and The Whiting School of Engineering**  
*(Effective January 1, 2021)*

*I. Definitions*

In this document, the Homewood Schools are defined to include the Zanvyl Krieger School of Arts and Sciences and the Whiting School of Engineering; appointment is defined as the process of appointing new tenure-track members to the faculties of the Homewood Schools; and promotion is defined as advancement from one professorial rank to another or the conferral of tenure.

*II. Criteria for Promotion or Appointment*

- Each appointment or promotion should be conducted so as to attract or retain faculty whose scholarly achievements, teaching ability, and qualities of university citizenship are superb. Appointment committees should seek the best candidate at the rank under consideration.
- For appointment or promotion to the rank of Associate Professor, a candidate must be a recognized leader among scholars at a similar stage of career development. The primary criteria are the candidate's scholarly research, teaching, and service to the University. When the conferral of tenure is at issue, the criteria shall also include the importance of the candidate's scholarly research, citizenship and teaching to the academic program of the department. In promotion cases, committees should consider whether the University is better served by promoting the candidate or searching for a replacement.
- To qualify for the rank of Professor a candidate must be an eminent and influential scholar and demonstrate a continuing commitment to excellence in teaching and mentoring. There must be clear evidence of additional scholarly achievement since promotion or appointment to the rank of Associate Professor. University and professional service are also expected of candidates. An outstanding record of service will be considered favorably in the evaluation of the case for promotion.

*III. Conflict of Interest*

The integrity of the process by which appointments and promotions are made is of profound importance to the University. Therefore, it is imperative that any individual involved in this process disclose any relationship to the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate. Any such relationship must be disclosed (in either the department report or in the ad hoc committee report as appropriate) in sufficient detail as to allow an observer to judge whether an actual conflict of interest exists. In cases where a clear conflict of interest exists, the individual involved should recuse himself or herself from the process.

Members of the Academic Council must likewise disclose any relationship to the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate. This includes but is not limited to cases in which both the candidate and the member hold primary appointments in the same department. Members shall

recuse themselves from all discussion of, and votes on, cases where they have a conflict of interest.

#### IV. Procedures for Promotion to the Rank of Associate Professor

The Tenure Regulations of the Krieger and Whiting Schools govern the timing of the faculty promotion process. Consideration of promotion to Associate Professor must be initiated by the department, in consultation with the faculty member.

The process for considering a promotion to Associate Professor has six stages:

1. Departmental review
2. Dean's review and appointment of ad hoc committee
3. Ad hoc committee review
4. Academic Council review and recommendation to the President
5. President's recommendation to the Board of Trustees
6. Final approval by the Board of Trustees

In order to ensure that ad hoc committees have adequate time to complete their work and that cases come before the Academic Council in a timely fashion, the dates in the table below should be observed. In particular, the department must request formation of an ad hoc committee by the October 15/March 15 deadline to ensure that Council will be able to hear the case in the following semester.

Candidates should submit material to their department no later than their sixth year in rank. Refer to the Tenure Regulations document for further details regarding promotion timeline.

Deadline	Candidates whose appointments began July 1– December 31	Candidates whose appointments began January 1– June 30
Submission of materials to department by the candidate	April 15	October 15
Department request for formation of an ad hoc committee	October 15	March 15
Formation of ad hoc committee by the Dean	November 15	May 1
Ad hoc committee report	March 15	October 1

#### *Departmental Review of Promotions to the Rank of Associate Professor*

The first phase in the consideration of a faculty member for promotion is review by the voting faculty of the department. For this purpose, the voting faculty are those tenured faculty at or above the Associate Professor rank. The voting faculty does not include those with Emeritus

and/or Academy status. The candidate shall provide the department with a complete vita, a bibliography of his or her work noting which are refereed publications, copies of work which has been accepted for publication but has not yet appeared in print (if relevant), statement of research accomplishments and goals, statement of teaching accomplishments and goals, description of department, school, and university service, samples of work, and any other materials germane to the case.

If a department feels, based on its evaluation of the dossier, that the candidate's case is insufficiently strong to warrant promotion, it may make a recommendation to the Dean against promotion without seeking external letters of evaluation. Such a recommendation requires a majority vote of the voting faculty. The Department shall provide the Dean with a tally of the vote, a letter from the Chair explaining the reason(s) for the decision and outlining any dissenting views, and a copy of the candidate's dossier. The decision not to seek external letters is subject to approval by the Dean. A decision not to continue the promotion process will be reported by the Dean to Academic Council as an information item.

In the second stage of the departmental review, the department solicits at least three letters of evaluation from external referees. It is incumbent upon the department to provide enough information and evaluation that is complete in the dossier for the Academic Council to make a judgment. The department shall consult with the Dean about suitable referees, but the final choices are made by the department. The candidate should not provide the chair with a list of leaders in their field or recommend any letter writers. The involvement of the candidate should be limited to providing the names of anyone the candidate feels could not give an impartial evaluation letter (and the reason why), although the chair may still solicit letters from scholars on the list. The Chair should not forward the candidate's list of potential conflicts to the ad hoc committee, but the departmental liaison may use that information when reviewing the ad hoc committee's list of candidate letter writers. The department should attempt to obtain no more than five external letters and in any case may request evaluations from no more than seven reviewers. The request for external letters must follow the procedures specified in the section *Guidelines for the Solicitation of Letters*, below.

In evaluating the candidate's teaching, undergraduate and graduate students as well as faculty may be consulted. However, any such consultation should be conducted with the utmost care to avoid putting pressure on students, especially those currently taking courses from the candidate or under the candidate's supervision. Letters from students should not be submitted. A summary of anonymous student evaluations, where available, must be included in the report.

The voting faculty of the department shall consider the case for promotion, based on the candidate's materials, any external letters, and its own evaluation of the candidate's scholarly research, teaching, and service. Although preliminary work may be designated to a subcommittee, the final decision rests with a vote of the entire voting faculty, recommending for or against promotion.

The Chair shall write a letter to the Dean reporting the decision of the department (including a tally of the vote), and justifying it on the basis of the elements of the dossier including the external letters of evaluation. The Chair's report should evaluate in detail:

1. the scholarly achievements of the candidate as seen by members of the department, including, as appropriate, comparisons with peers in the field;

2. the candidate's teaching ability, with supporting material outlining the courses that the candidate has taught at Hopkins and analyzing work performed in supervising graduate dissertations; and
3. the candidate's service to the department, the university, and the profession.

The report should also describe how the scholarly field(s) represented by the candidate are related to the present or planned programs of the department, and whether the candidate's expertise is helpful or necessary to the support of other programs at Hopkins, especially in the Homewood Schools.

The Chair shall include in the report

- a list of all referees and potential referees contacted regarding the case,
- a brief statement of the basis on which the referees were selected,
- possible reasons for failure of any referees to respond,
- pertinent information on the standing of the referees in their fields (including those not responding),
- an indication of any special relationships between the referees and the candidate,
- a discussion of any role played by the candidate in selection of the referees,
- a discussion of the role of the Dean in selection of the referees,
- a copy of the letter written to the referees, and
- copies of all external letters received.

Any minority views among the voting faculty should be represented accurately in the Chair's report. The Chair's report must be shared with the voting members of the department for comment prior to its submission to the Dean. If faculty members holding the minority view are not satisfied that the final version of the Chair's report adequately presents their view, they have the option of writing a minority report within two weeks. The minority report is shared with the voting faculty, and is appended to the Chair's letter and becomes part of the candidate's dossier.

The Chair's report should also disclose any relationships between faculty members voting on the case and the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III above).

Whether the departmental recommendation is positive or negative, the "department dossier" is then transmitted to the Dean. Along with the Chair's report, the department dossier consists of all material assembled by the department for its deliberation of the case. Every effort should be made to complete the departmental review process as early as possible in the academic year, even before the deadlines mentioned above, in order to allow sufficient time for evaluation by the ad hoc committee and the Academic Council.

#### *Dean's Review of Promotions to the Rank of Associate Professor*

The department dossier provides the basis for the Dean's decision whether to form an ad hoc committee to consider the case further. Upon receipt of the dossier, the Dean may meet with the Chair to discuss the candidate and the recommendation of the department. The Dean may ask the department for more information and suspend the decision until he or she determines the department dossier to be sufficiently complete and informative. If the Dean is inclined not to follow the recommendation of the department, he or she shall share the department dossier with Academic Council and consult with them before arriving at a final conclusion. A decision not to

follow the recommendation of the department must be explained in writing to the Chair and reported as an information item to Academic Council.

### *Ad Hoc Committee Procedures for Promotions to the Rank of Associate Professor*

The next phase in the consideration of a candidate is an evaluation by an ad hoc committee drawn from the tenured faculty of the Homewood Schools at or above the Associate Professor rank. It is the responsibility of the ad hoc committee to evaluate the candidate's qualifications for promotion as thoroughly and impartially as possible, and to communicate that evaluation to the Academic Council. The committee must not view itself as an advocate for either the department or the candidate. The ad hoc committee's recommendation should be informed by its own impartial evaluation of the candidate's scholarly research, undergraduate and graduate teaching, and service to the department, school and university.

The ad hoc committee shall consist of two faculty members, neither of whom shall be from the candidate's department. In appointing the committee, the Dean will attempt to appoint a disinterested and balanced group of faculty capable of evaluating significant aspects of a candidate's work, and will inform the Academic Council of the Committee's membership at the time it is appointed. Faculty holding a secondary appointment in the candidate's department are automatically disqualified from serving on the ad hoc committee if they took part in the consideration of the case at the departmental level. Council members will be appointed to ad hoc committees only in unusual circumstances, and faculty will generally not be appointed to ad hoc committees charged with considering candidates with whom they have published.

The constitution of an ad hoc promotion committee shall be held in confidence. Should the candidate learn the composition of the committee or the confidentiality of the process otherwise be compromised, as circumstances indicate the Dean may suspend the work of the committee and appoint a new one. Members of the faculty must refrain from attempting to learn the composition of an ad hoc committee, and from contacting the committee.

The ad hoc committee is furnished with the department dossier. The committee shall then supplement this material by soliciting external letters of evaluation. (*See Guidelines for the Solicitation of Letters* below.) The committee should request reviews by enough referees so that, when added to letters solicited by the department, at least ten substantive responses are obtained. Moreover, if the department dossier contains more than five letters, the ad hoc committee must obtain a number of external letters of its own at least equal to the number obtained by the department.

In the case of candidates for whom previous ad hoc appointment or promotion committees have been formed at Johns Hopkins, the Dean shall furnish the committee with a list of scholars who have previously submitted letters of appraisal.

Either the department Chair or the Chair's designee shall serve as departmental liaison to the ad hoc committee. The identity of the liaison shall also be held in confidence. The role of the liaison is to provide information helpful to the committee in selecting referees and making its recommendation on the case. The liaison shall meet with the ad hoc committee at least once before it sends out requests for evaluation; during the process of this consultation, the liaison must be given the opportunity to comment on the qualifications, appropriateness and impartiality

of all proposed referees. The ad hoc committee may take such comments under advisement, although the liaison holds no veto over the selection of referees. At its discretion, the committee may ask the departmental liaison to provide background information on the field of the candidate's scholarly research. In exceptional cases, if the committee is unable to compile a satisfactory list of potential referees or to obtain the requisite number of letters, the committee may petition the Academic Council to allow the departmental liaison to furnish an extensive list of distinguished scholars with appropriate expertise to evaluate the candidate. Such a petition will only be approved if, after meeting with the chair of the ad hoc committee, the Academic Council agrees that there is no other reasonable alternative. The liaison shall be given the opportunity to review the contents of the packet of materials that goes out before it is transmitted to the referees. However, it is the responsibility of the ad hoc committee chair to obtain an up-to-date dossier from the department chair for inclusion in the packet. Beyond consulting on the selection of the referees, the role of the liaison shall be confined to responding to specific requests from the committee for information it deems relevant to making its recommendation. Any contribution of the departmental liaison to the development of the list of referees or to any aspect of the committee's deliberations should be documented carefully in the committee's report. (See *Committee Reporting Procedures*, below.)

It is to be emphasized that the recommendation of the ad hoc committee should be based on the entire dossier, not only on the letters of evaluation that it has itself solicited. At its discretion, the committee also may make use of information available from other sources, such as book reviews and citation databases.

Departments must make every effort to minimize the involvement of a candidate with his or her own promotion or appointment. Candidates should not contact potential referees concerning a promotion. Any communications between the candidate and the committee should be channeled through the department chair or the Dean, as appropriate. It should be emphasized that the candidate should not be apprised of the progress of a committee's evaluation or of any problems encountered.

Letters to the external referees should be signed by the chair of the ad hoc committee. The Dean will provide administrative assistance to the ad hoc committee in the form of staff to handle the distribution of letters and promotion materials to the external referees. Responses from external referees will similarly be made to the Dean's office, which shall keep the ad hoc committee apprised of the responses. In order to ensure that the committee completes its evaluation in a timely fashion, committee chairs should follow up on requests for information that have not elicited a response in a reasonable time period, repeating their request for information. Each ad hoc committee should expect to report to the Academic Council within three months of its appointment. Should this prove impossible for any reason, the committee chair should so notify the Dean.

#### *Ad Hoc Committee Reporting Procedures for Promotions to the Rank of Associate Professor*

When an ad hoc committee has completed its evaluation, it will submit to the Dean a report reviewing its findings and recommending whether or not the promotion should be made. The committee's report should include a list of all referees contacted, a brief statement of the basis on which the referees were selected, possible reasons for failure of any referees to respond, pertinent information on the standing of the referees in their fields, and an indication of any special

relationships between the referees and the candidate. The report should also disclose any relationships between the committee members and the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III above). The committee should enclose with its report a copy of its letter to the referees and all letters, e-mails and other correspondence received from the referees. Once again, it is essential that all contributions of the departmental liaison be documented carefully. All materials in the department dossier provided to the ad hoc committee should be included in the report.

Under unusual circumstances, an ad hoc committee may append to its report letters of appraisal from scholars holding a rank lower than that for which the candidate is proposed or from members of the Johns Hopkins faculty. Any such letters are to be considered as supplementary information only, and will not be used as a primary basis for the Council's decision. In certain cases, by reviewing the ad hoc committee report submitted for the Academic Council, the Dean may find that the committee did not follow the procedures as expected, or that the evidence in the report is insufficient for the purpose of making a reliable recommendation. In such a case, the Dean may ask the ad hoc committee to take actions to supplement the dossier, such as soliciting additional letters or consulting citation databases.

When the report of the ad hoc committee is complete, it shall be transmitted to the chair of the department, who will be given the opportunity, if he or she wishes, to respond to it in writing. Any such response will be added to the dossier. The Dean may, upon receipt of the departmental response, ask the ad hoc committee to take additional actions to supplement the dossier. If the final ad hoc committee report is different in any significant respect from the version initially submitted to the Dean, the Dean must provide the Academic Council with a written account of the changes and the reasons for them.

The complete dossier is then transmitted to the Academic Council for its consideration. The case will be presented to the Council whatever the recommendation of the ad hoc committee as to its disposition. The chair of the candidate's department (or his or her designee) and the chair of the ad hoc committee each will appear before the Council to provide any additional information that they may wish to present, and to answer questions from the Council. They will meet sequentially with the Council, and normally the department chair will appear first. In cases when a tenured departmental faculty member's field is closer to that of the candidate, the Chair may, at the Dean's discretion, choose to be accompanied by one such faculty member when appearing before the Council. In the course of Council's deliberations, the Dean of the relevant School and the Provost will be invited to comment on the case.

Approval of a promotion requires that a majority of the Council members present vote in the affirmative. It is customary not to vote on a promotion during the Academic Council meeting at which the ad hoc committee makes its report, but to table the recommendation until the next meeting of the Council. If there is special urgency in making a promotion, the department or the Dean may request a waiver of this holdover rule. At the end of the discussion of the case, the holdover rule may be waived by a three quarters vote of the Council members who are present.

When an ad hoc committee submits its report and dossier to the Dean for distribution to the Academic Council, all other material relating to the report is to be submitted to the Office of the Dean or destroyed.

Following a decision on a proposed promotion, the Academic Council secretary will notify the ad hoc committee chair of the decision. As a courtesy, the department and ad hoc committee chairs should inform the referees of the outcome, thanking them for their effort.

*Guidelines for the Solicitation of Letters for Promotions to the Rank of Associate Professor*

*Selection of Referees for Departmental and Ad Hoc Letters*

Both the department and the ad hoc committee shall solicit letters evaluating the candidate's achievements and promise for the future from recognized authorities in the candidate's field(s) of expertise. These letters are among the most important evidence in the dossier, and great care should be taken in assembling the list of referees.

It is important to choose referees with the expertise necessary to assess the candidate's scholarship. Opinions should be sought from a broad selection of referees, including adherents of different, even opposing, schools of thought. In the case of candidates whose work spans more than a single field, evaluations should be solicited from a group of referees whose collective expertise covers the range of the candidate's work. Normally, referees will carry the rank of Professor or the equivalent; in cases where a letter is solicited from a referee carrying a lower rank, an explanation for this exception must be provided in writing. Because Hopkins must maintain a faculty of strong international reputation, opinions from foreign referees should be included where possible. In identifying the pool of potential letter writers, the committee should strive to balance the eminence of the referees with the likelihood that they will be able to provide an informative evaluation of the candidate's work.

The primary consideration by departments and ad hoc committees should be whether the group of referees, taken as a whole, has the necessary expertise in the discipline to assess the candidate's scholarship while still having an appropriate degree of impartiality. Although it would be a mistake to assemble a group of referees with a preponderance of members known to be close to the candidate, it would also be a mistake to avoid individual referees with especially relevant expertise solely on the basis of a professional relationship with the candidate.

Any candidate who is an active scholar will form professional relationships with other scholars who are potential referees. For example, a candidate might co-organize conferences or symposia, contribute to edited volumes, or invite or be invited to give seminars. Such routine relationships should not disqualify the individuals involved from writing letters; indeed, these people may be ideally suited to assess the candidate's scholarship.

Some particularly close relationships may compromise the objectivity of the referee. For example, solicitation of letters from former doctoral or post-doctoral advisors, colleagues from the same institution, or individuals with a sustained record of collaboration with the candidate is discouraged.

In every case it is essential that there be full disclosure of all known relationships between the referees and the candidate. To this end, when letters are solicited the referees should be asked explicitly to disclose any relationships they may have with the candidate. These relationships



should be described in the department's letter to the Dean or the ad hoc committee report, as appropriate.

### *Guidelines for Preparing the Request for Letters for Promotions to the Rank of Associate Professor*

Template letters are provided on the Academic Council website (<https://academiccouncil.jhu.edu/appointments-promotions/>). With prior approval from the Dean's Office or from the Appointments and Promotions subcommittee, the department or ad hoc committee may modify these templates to suit individual circumstances, but the following points should be observed:

- The referees should be asked to compare the candidate with others who are at the same stage of their career in the same or comparable fields of research, and to evaluate the likelihood that the candidate will equal the achievements of current leaders in the field, regardless of seniority.
- The letter should indicate in general terms that although the timing of the cases may depend on personal circumstances (including extension of the tenure clock for family or medical leave) the criteria for promotion are the same for all candidates regardless of the length of service.
- Referees should be invited to comment on the candidate's abilities as a teacher if they are able to do so.
- It should be indicated that the promotion involves the conferral of tenure. • Great emphasis should be placed upon the fact that the referee's responses will be treated with strict confidentiality; referees shall be informed that only senior faculty in the department (for letters solicited by the department) and those directly involved in the evaluation process will see their responses.
- The referees should be asked explicitly to disclose any relationship they may have with the candidate.

The department or ad hoc committee shall supply each referee with the candidate's vita and complete bibliography, and copies of at least a representative sampling of his or her scholarly work.

### *Exceptional Circumstances*

Under truly exceptional circumstances, the Academic Council may decide to follow an alternative procedure in considering a promotion, such as choosing not to solicit external letters. However, under no circumstances may the Council suspend its rules for voting on promotions. The Dean should discuss with Council any proposed change in procedure before an ad hoc committee is formed.

### *Transparency of the Promotion Process*

It is in the best interests of the candidate, the department, and the University for the promotion process to be as open and transparent as possible, consistent with the privacy of the individuals involved and the confidentiality of both internal and external evaluations. Therefore, after each decision in the promotion process — that is, a) the department decision whether or not to put the

candidate up for promotion, b) the Dean’s decision whether or not to appoint an ad hoc committee, c) Council’s decision whether or not to recommend promotion to the President, d) the President’s decision whether or not to recommend promotion to the Board of Trustees, and e) the final decision of the Board of Trustees — the candidate, the department, the Dean, and the Academic Council should be promptly informed of the decision.

#### V. Procedures for Promotions to the Rank of Full Professor

The Tenure Regulations of the Krieger and Whiting Schools govern the timing of the faculty promotion process. Promotion from Associate Professor to Full Professor may be requested of the department by the faculty member at any time consistent with the Tenure Regulations.

The process for considering a promotion to the rank of Full Professor has five stages:

1. Departmental review
2. Dean’s review
3. Academic Council review and recommendation to the President
4. President’s recommendation to the Board of Trustees
5. Final approval by the Board of Trustees

In order to ensure that cases come before the Academic Council in a timely fashion, the dates in the table below should be observed. In particular, the department must request consideration of promotion by the October 1 deadline.

Candidates are expected to submit material to their department no later than their seventh year in rank. Refer to the Tenure Regulations document for further details regarding promotion timeline.

#### Deadlines

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Submission of materials to department by the candidate      March 15

Department request to Dean for promotion consideration      October 1

#### *Departmental Review of Promotions to the Rank of Full Professor*

The first phase in the consideration of a faculty member for promotion is review by the voting faculty of the department. For this purpose, the voting faculty are tenured Full Professors. The voting faculty does not include those with Emeritus and/or Academy status. The candidate shall provide the department with a complete vita, a bibliography of his or her work noting which are refereed publications, copies of work which has been accepted for publication but has not yet appeared in print (if relevant), statement of research accomplishments and goals, statement of teaching accomplishments and goals, description of department, school, and University service, samples of work, and any other materials germane to the case.

If a department feels, based on its evaluation of the dossier, that the candidate's case is insufficiently strong to warrant promotion, it may make a recommendation to the Dean against

promotion without seeking external letters of evaluation. Such a recommendation requires a majority vote of the voting faculty. The Department shall provide the Dean with a tally of the vote, a letter from the Chair explaining the reason(s) for the decision and outlining any dissenting views, and a copy of the candidate's dossier. The decision not to seek external letters is subject to approval by the Dean. A decision not to continue the promotion process will be reported by the Dean to the Academic Council as an information item.

In the second stage of the departmental review, the department obtains at least six letters of evaluation from external referees (see *Selection of Referees* below). It is incumbent upon the department to provide enough information and evaluation that is complete in the dossier for the Academic Council to make a judgment. The department shall consult with the Dean about suitable referees, but the final choices are made by the department. The candidate should not provide the chair with a list of leaders in their field or recommend any letter writers. The involvement of the candidate should be limited to providing the names of anyone the candidate feels could not give an impartial evaluation letter (and the reason why), although the chair may still solicit letters from scholars on the list. The request for external letters must follow the procedures specified in the section *Guidelines for the Solicitation of Letters*, below.

In evaluating the candidate's teaching, undergraduate and graduate students as well as faculty may be consulted. However, any such consultation should be conducted with the utmost care to avoid putting pressure on students, especially those currently taking courses from the candidate or under the candidate's supervision. Letters from students should not be submitted. A summary of anonymous student evaluations, where available, must be included in the report.

The voting faculty of the department shall consider the case for promotion, based on the candidate's materials, external letters, and its own evaluation of the candidate's scholarly research, teaching, and service. Although preliminary work may be designated to a subcommittee, the final decision rests with a vote of the entire voting faculty, recommending for or against promotion.

The Chair shall write a letter to the Dean reporting the decision of the department (including a tally of the vote), and justifying it on the basis of the elements of the dossier including the external letters of evaluation. The Chair's report should evaluate in detail:

1. the scholarly achievements of the candidate as seen by members of the department, including, as appropriate, comparisons with peers in the field;
2. the candidate's teaching ability, with supporting material outlining the courses that the candidate has taught at Hopkins and analyzing work performed in supervising graduate dissertations; and
3. the candidate's service to the department, the University, and the profession.

The Chair shall include in the report

- a list of all referees and potential referees contacted regarding the case,
- a brief statement of the basis on which the referees were selected,
- possible reasons for failure of any referees to respond,
- pertinent information on the standing of the referees in their fields (including those not responding),
- an indication of any special relationships between the referees and the candidate,
- a discussion of the role of the Dean in selection of the referees,

- a copy of the letter written to the referees, and
- copies of all external letters received.

Any minority views among the voting faculty should be represented accurately in the Chair's report. The Chair's report must be shared with the voting members of the department for comment prior to its submission to the Dean. If faculty members holding the minority view are not satisfied that the final version of the Chair's report adequately presents their view, they have the option of writing a minority report within two weeks. The minority report is shared with the voting faculty, and is appended to the Chair's letter and becomes part of the candidate's dossier.

The Chair's report should also disclose any relationships between faculty members voting on the case and the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III above).

Whether the departmental recommendation is positive or negative, the "department dossier" is then transmitted to the Dean. Along with the Chair's report, the department dossier consists of all material assembled by the department for its deliberation of the case. Every effort should be made to complete the departmental review process as early as possible in the academic year, even before the deadlines mentioned above, in order to allow sufficient time for evaluation by the Academic Council.

#### *Dean's Review of Promotions to the Rank of Full Professor*

The department dossier provides the basis for the Dean's decision whether to transmit the case to the Academic Council. Upon receipt of the dossier, the Dean may meet with the Chair to discuss the candidate and the recommendation of the department. The Dean may ask the department for more information and suspend the decision until he or she determines the department dossier to be sufficiently complete and informative. If the Dean is inclined not to follow the recommendation of the department, he or she shall share the department dossier with the Academic Council and consult with them before arriving at a final conclusion. A decision not to follow the recommendation of the department must be explained in writing to the Chair and reported as an information item to the Academic Council.

#### *Guidelines for the Solicitation of Letters for Promotions to the Rank of Full Professor*

##### *Selection of Referees*

The department shall solicit letters evaluating the candidate's achievements and promise for the future from recognized authorities in the candidate's field(s) of expertise. These letters are among the most important evidence in the dossier, and great care should be taken in assembling the list of referees.

It is important to choose referees with the expertise necessary to assess the candidate's scholarship. Opinions should be sought from a broad selection of referees, including adherents of different, even opposing, schools of thought. In the case of candidates whose work spans more than a single field, evaluations should be solicited from a group of referees whose collective expertise covers the range of the candidate's work. Referees will carry the rank of Professor or the equivalent. Because Hopkins must maintain a faculty of strong international reputation,

opinions from foreign referees should be included where possible. In identifying the pool of potential letter writers, the department should strive to balance the eminence of the referees with the likelihood that they will be able to provide an informative evaluation of the candidate's work.

The primary consideration should be whether the group of referees, taken as a whole, has the necessary expertise in the discipline to assess the candidate's scholarship while still having an appropriate degree of impartiality. Although it would be a mistake to assemble a group of referees with a preponderance of members known to be close to the candidate, it would also be a mistake to avoid individual referees with especially relevant expertise solely on the basis of a professional relationship with the candidate.

Any candidate who is an active scholar will form professional relationships with other scholars who are potential referees. For example, a candidate might co-organize conferences or symposia, contribute to edited volumes, or invite or be invited to give seminars. Such routine relationships should not disqualify the individuals involved from writing letters; indeed, these people may be ideally suited to assess the candidate's scholarship.

Some particularly close relationships may compromise the objectivity of the referee. For example, solicitation of letters from former doctoral or post-doctoral advisors, colleagues from the same institution, or individuals with a sustained record of collaboration with the candidate is discouraged. For cases where an ad hoc committee will not be formed, and the dossier will hence contain a smaller number of letters, it is particularly important that the department avoid choosing referees with known relationships with the candidate.

In every case it is essential that there be full disclosure of all known relationships between the referees and the candidate. To this end, when letters are solicited the referees should be asked explicitly to disclose any relationships they may have with the candidate. These relationships should be described in the department's letter to the Dean.

*Guidelines for Preparing the Request for Letters for Promotions to the Rank of Full Professor*  
Template letters are provided on the Academic Council website (<https://academiccouncil.jhu.edu/appointments-promotions/>). With prior approval from the Dean's Office or Appointments and Promotions Subcommittee, the department may modify these templates to suit individual circumstances, but the following points should be observed:

- The referees should be asked to compare the candidate with others who are at the same stage of their career in the same or comparable fields of research, and to evaluate the likelihood that the candidate will equal the achievements of current leaders in the field, regardless of seniority.
- Referees should be invited to comment on the candidate's abilities as a teacher if they are able to do so.
- Great emphasis should be placed upon the fact that the referee's responses will be treated with strict confidentiality; referees shall be informed that only senior faculty in the department and those directly involved in the evaluation process will see their responses.
- The referees should be asked explicitly to disclose any relationship they may have with the candidate.

The department shall supply each referee with the candidate's vita and complete bibliography, and copies of at least a representative sampling of his or her scholarly work.

#### *Exceptional Circumstances*

Under truly exceptional circumstances, the Academic Council may decide to follow an alternative procedure in considering a promotion, such as choosing not to solicit external letters. However, under no circumstances may the Academic Council suspend its rules for voting on promotions. The Dean should discuss with the Academic Council any proposed change in procedure.

#### *Transparency of the Promotion Process*

It is in the best interests of the candidate, the department, and the University for the promotion process to be as open and transparent as possible, consistent with the privacy of the individuals involved and the confidentiality of both internal and external evaluations. Therefore, after each decision in the promotion process — that is, a) the department decision whether or not to put the candidate up for promotion, b) the Dean's decision whether or not to transmit the dossier to the Academic Council, c) the Academic Council's decision whether or not to recommend promotion to the President, d) the President's decision whether or not to recommend promotion to the Board of Trustees, and e) the final decision of the Board of Trustees — the candidate, the department, the Dean, and the Academic Council should be promptly informed of the decision.

### *VI. Procedures for Appointments at the Rank of Associate Professor*

#### *Review of Search Procedures for Appointments at the Rank of Associate Professor*

Recommendations for all new faculty appointments must be made with the approval of the voting faculty of the department, their vote being recorded in the Chair's written request to the Dean.

For all new appointments, the chair of the department shall follow the search process outlined for its School. The dossier presented to the Academic Council will include the final affirmative action report, along with all supporting materials.

#### *Department Collection of Letters for Appointments at the Rank of Associate Professor*

The department shall consult with the Dean about suitable referees, but the final choices are made by the department. The candidate should not provide the chair with a list of leaders in their field or recommend any letter writers. The involvement of the candidate should be limited to providing the names of anyone the candidate feels could not give an impartial evaluation letter (and the reason why), although the chair may still solicit letters from scholars on the list. The request for external letters must follow the procedures specified in the section *Guidelines for the Solicitation of Letters*, below. If the department has solicited letters as part of the search process, these letters must be included in the department dossier submitted to the Dean, along with a detailed account of the correspondence by which they were solicited. Letters of recommendation solicited by the candidate during the recruitment process must be included in the dossier but do not count toward the ten independent reviews required for appointment and tenure. The

department should not request letters of reference from someone who has already provided a letter of recommendation for the candidate during the search. The department may also provide a list of referees from whom the ad hoc committee may choose to request letters, provided that the number of department-derived letters (including those that may have been solicited directly by the department) should be no more than five.

#### *Standard Ad Hoc Committee Process for Appointments at the Rank of Associate Professor*

The Dean will appoint an ad hoc appointment committee to consider the qualifications of the candidate. As in promotion cases, the ad hoc committee will also request letters of its own, and enough referees should be contacted so that the number of substantive responses equal or exceed the number of letters obtained by the department. When these letters are added to the departmental letters, there must be at least ten independent review letters in the dossier.

The ad hoc committee is drawn from the tenured faculty of the Homewood Schools at or above the Associate Professor rank. It is the responsibility of the ad hoc committee to evaluate the candidate's qualifications for appointment as thoroughly and impartially as possible, and to communicate that evaluation to the Academic Council. The committee must not view itself as an advocate for either the department or the candidate. The ad hoc committee's recommendation should be informed by its own impartial evaluation of the candidate's scholarly research, undergraduate and graduate teaching, and service to the department, school and University.

The ad hoc committee shall consist of two faculty members, neither of whom shall be from the candidate's department. In appointing the committee, the Dean will attempt to appoint a disinterested and balanced group of faculty capable of evaluating significant aspects of a candidate's work, and will inform the Academic Council of the Committee's membership at the time it is appointed. Faculty holding a secondary appointment in the candidate's department are automatically disqualified from serving on the ad hoc committee if they took part in the consideration of the case at the departmental level. Council members will be appointed to ad hoc committees only in unusual circumstances, and faculty will generally not be appointed to ad hoc committees charged with considering candidates with whom they have published.

The constitution of an ad hoc appointment committee shall be held in confidence. Should the candidate learn the composition of the committee or the confidentiality of the process otherwise be compromised, as circumstances indicate the Dean may suspend the work of the committee and appoint a new one. Members of the faculty must refrain from attempting to learn the composition of an ad hoc committee, and from contacting the committee.

The ad hoc committee is furnished with the department dossier. The committee shall then supplement this material by soliciting external letters of evaluation. (*See Guidelines for the Solicitation of Letters* below.) The committee should request reviews by enough referees so that, when added to letters solicited by the department, at least ten substantive responses are obtained. Moreover, if the department dossier contains more than five letters, the ad hoc committee must obtain a number of external letters of its own at least equal to the number obtained by the department.

Either the department Chair or the Chair's designee shall serve as departmental liaison to the ad hoc committee. The identity of the liaison shall also be held in confidence. The role of the liaison

is to provide information helpful to the committee in selecting referees and making its recommendation on the case. The liaison shall meet with the ad hoc committee at least once before it sends out requests for evaluation; during the process of this consultation, the liaison must be given the opportunity to comment on the qualifications, appropriateness and impartiality of all proposed referees. The ad hoc committee may take such comments under advisement, although the liaison holds no veto over the selection of referees. At its discretion, the committee may ask the departmental liaison to provide background information on the field of the candidate's scholarly research. In exceptional cases, if the committee is unable to compile a satisfactory list of potential referees or to obtain the requisite number of letters, the committee may petition the Academic Council to allow the departmental liaison to furnish an extensive list of distinguished scholars with appropriate expertise to evaluate the candidate. Such a petition will only be approved if, after meeting with the chair of the ad hoc committee, the Academic Council agrees that there is no other reasonable alternative. The liaison shall be given the opportunity to review the contents of the packet of materials that goes out before it is transmitted to the referees. However, it is the responsibility of the ad hoc committee chair to obtain an up-to-date dossier from the department chair for inclusion in the packet. Beyond consulting on the selection of the referees, the role of the liaison shall be confined to responding to specific requests from the committee for information it deems relevant to making its recommendation. Any contribution of the departmental liaison to the development of the list of referees or to any aspect of the committee's deliberations should be documented carefully in the committee's report. (See *Ad Hoc Committee Reporting Procedures*, below.)

It is to be emphasized that the recommendation of the ad hoc committee should be based on the entire dossier, not only on the letters of evaluation that it has itself solicited. At its discretion, the committee also may make use of information available from other sources, such as book reviews and citation databases.

Departments must make every effort to minimize the involvement of a candidate with his or her own appointment. Candidates should not contact potential referees concerning an appointment. Any communications between the candidate and the committee should be channeled through the department chair or the Dean, as appropriate. It should be emphasized that the candidate should not be apprised of the progress of a committee's evaluation or of any problems encountered.

Letters to the external referees should be signed by the chair of the ad hoc committee. The Dean will provide administrative assistance to the ad hoc committee in the form of staff to handle the distribution of letters and appointment materials to the external referees. Responses from external referees will similarly be made to the Dean's office, which shall keep the ad hoc committee apprised of the responses. In order to ensure that the committee completes its evaluation in a timely fashion, committee chairs should follow up on requests for information that have not elicited a response in a reasonable time period, repeating their request for information. Each ad hoc committee should expect to report to the Academic Council within three months of its appointment. Should this prove impossible for any reason, the committee chair should so notify the Dean.

#### *Ad Hoc Committee Reporting Procedures for Appointments at the Rank of Associate Professor*

When an ad hoc committee has completed its evaluation, it will submit to the Dean a report reviewing its findings and recommending whether or not the appointment should be made. The



committee's report should include a list of all referees contacted, a brief statement of the basis on which the referees were selected, possible reasons for failure of any referees to respond, pertinent information on the standing of the referees in their fields, and an indication of any special relationships between the referees and the candidate. The report should also disclose any relationships between the committee members and the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III above). The committee should enclose with its report a copy of its letter to the referees and all letters, e-mails and other correspondence received from the referees. Once again, it is essential that all contributions of the departmental liaison be documented carefully. All materials in the department dossier provided to the ad hoc committee should be included in the report.

Under unusual circumstances, an ad hoc committee may append to its report letters of appraisal from scholars holding a rank lower than that for which the candidate is proposed or from members of the Johns Hopkins faculty. Any such letters are to be considered as supplementary information only, and will not be used as a primary basis for the Academic Council's decision. In certain cases, by reviewing the ad hoc committee report submitted for the Academic Council, the Dean may find that the committee did not follow the procedures as expected, or that the evidence in the report is insufficient for the purpose of making a reliable recommendation. In such a case, the Dean may ask the ad hoc committee to take actions to supplement the dossier, such as soliciting additional letters or consulting citation databases.

When the report of the ad hoc committee is complete, it shall be transmitted to the Chair of the department, who will be given the opportunity, if he or she wishes, to respond to it in writing. Any such response will be added to the dossier. The Dean may, upon receipt of the departmental response, ask the ad hoc committee to take additional actions to supplement the dossier. If the final ad hoc committee report is different in any significant respect from the version initially submitted to the Dean, the Dean must provide the Academic Council with a written account of the changes and the reasons for them.

The complete dossier is then transmitted to the Academic Council for its consideration. The case will be presented to the Council whatever the recommendation of the ad hoc committee as to its disposition. The Chair of the candidate's department (or his or her designee) and the chair of the ad hoc committee each will appear before the Academic Council to provide any additional information that they may wish to present, and to answer questions from the Academic Council. They will meet sequentially with the Academic Council, and normally the department Chair will appear first. In cases when a tenured departmental faculty member's field is closer to that of the candidate, the Chair may, at the Dean's discretion, choose to be accompanied by one such faculty member when appearing before the Academic Council. In the course of the Academic Council's deliberations, the Dean of the relevant School and the Provost will be invited to comment on the case.

Approval of an appointment requires that a majority of the Academic Council members present vote in the affirmative. It is customary not to vote on an appointment during the Academic Council meeting at which the ad hoc committee makes its report, but to table the recommendation until the next meeting of the Academic Council. If there is special urgency in making an appointment, the department or the Dean may request a waiver of this holdover rule.

At the end of the discussion of the case, the holdover rule may be waived by a three quarters vote of the Academic Council members who are present.

When an ad hoc committee submits its report and dossier to the Dean for distribution to the Academic Council, all other material relating to the report is to be submitted to the Office of the Dean or destroyed.

Following a decision on a proposed appointment, the Academic Council secretary will notify the ad hoc committee chair of the decision. As a courtesy, the department and ad hoc committee chairs should inform the referees of the outcome, thanking them for their effort.

### *Guidelines for the Solicitation of Letters for Appointments at the Rank of Associate Professor*

#### *Selection of Referees*

Letters shall be solicited evaluating the candidate's achievements and promise for the future from recognized authorities in the candidate's field(s) of expertise. These letters are among the most important evidence in the dossier, and great care should be taken in assembling the list of referees.

It is important to choose referees with the expertise necessary to assess the candidate's scholarship. Opinions should be sought from a broad selection of referees, including adherents of different, even opposing, schools of thought. In the case of candidates whose work spans more than a single field, evaluations should be solicited from a group of referees whose collective expertise covers the range of the candidate's work. Normally, referees will carry the rank of Professor or the equivalent; in cases where a letter is solicited from a referee carrying a lower rank, an explanation for this exception must be provided in writing. Because Hopkins must maintain a faculty of strong international reputation, opinions from foreign referees should be included where possible. In identifying the pool of potential letter writers, the committee should strive to balance the eminence of the referees with the likelihood that they will be able to provide an informative evaluation of the candidate's work.

The primary consideration by departments and ad hoc committees should be whether the group of referees, taken as a whole, has the necessary expertise in the discipline to assess the candidate's scholarship while still having an appropriate degree of impartiality. Although it would be a mistake to assemble a group of referees with a preponderance of members known to be close to the candidate, it would also be a mistake to avoid individual referees with especially relevant expertise solely on the basis of a professional relationship with the candidate.

Any candidate who is an active scholar will form professional relationships with other scholars who are potential referees. For example, a candidate might co-organize conferences or symposia, contribute to edited volumes, or invite or be invited to give seminars. Such routine relationships should not disqualify the individuals involved from writing letters; indeed, these people may be ideally suited to assess the candidate's scholarship.

Some particularly close relationships may compromise the objectivity of the referee. For example, solicitation of letters from former doctoral or post-doctoral advisors, colleagues from

the same institution, or individuals with a sustained record of collaboration with the candidate is discouraged.

In every case it is essential that there be full disclosure of all known relationships between the referees and the candidate. To this end, when letters are solicited the referees should be asked explicitly to disclose any relationships they may have with the candidate. These relationships should be described in the department's letter to the Dean or the ad hoc committee report, as appropriate.

### *Guidelines for Preparing the Request for Letters for Appointments at the Rank of Associate Professor*

Template letters are provided on the Academic Council website (<https://academiccouncil.jhu.edu/appointments-promotions/>). With prior approval from the Dean's Office or from the Appointments and Promotions subcommittee, the department or ad hoc committee may modify these templates to suit individual circumstances, but the following points should be observed:

- The referees should be asked to compare the candidate with others who are at the same stage of their career in the same or comparable fields of research, and to evaluate the likelihood that the candidate will equal the achievements of current leaders in the field, regardless of seniority.
- Referees should be invited to comment on the candidate's abilities as a teacher if they are able to do so.
- It should be indicated that the appointment involves the conferral of tenure.
- Great emphasis should be placed upon the fact that the referee's responses will be treated with strict confidentiality; referees shall be informed that only senior faculty in the department (for letters solicited by the department) and those directly involved in the evaluation process will see their responses.
- The referees should be asked explicitly to disclose any relationship they may have with the candidate.

The committee shall supply each referee with the candidate's vita and complete bibliography, and copies of at least a representative sampling of his or her scholarly work.

### *Exceptional Circumstances*

Under truly exceptional circumstances, the Academic Council may decide to follow an alternative procedure in considering an appointment, such as choosing not to solicit external letters. However, under no circumstances may the Academic Council suspend its rules for voting on appointments. The Dean should discuss with the Academic Council any proposed change in procedure before an ad hoc committee is formed.

### *Transparency of the Appointment Process*

It is in the best interests of the candidate, the department, and the University for the appointment process to be as open and transparent as possible, consistent with the privacy of the individuals

involved and the confidentiality of both internal and external evaluations. Therefore, after each decision in the appointment process — that is, a) the department decision whether or not to put the candidate up for appointment, b) the Dean’s decision whether or not to appoint an ad hoc committee, c) the Academic Council’s decision whether or not to recommend the appointment to the President, d) the President’s decision whether or not to recommend the appointment to the Board of Trustees, and e) the final decision of the Board of Trustees — the candidate, the department, the Dean, and the Academic Council should be promptly informed of the decision.

### VII. Procedures for Appointments at the Rank of Full Professor

#### *Review of Search Procedures for Appointments at the Rank of Full Professor*

Recommendations for all new faculty appointments must be made with the approval of the voting faculty of the department, their vote being recorded in the Chair’s written request to the Dean.

For all new appointments, the chair of the department shall follow the search process outlined for its School. The dossier presented to the Academic Council will include the final affirmative action report, along with all supporting materials.

#### *Candidate Dossier for Appointments at the Rank of Full Professor*

The department Chair shall provide an initial candidate dossier to the Dean. The initial dossier shall include the following components:

1. candidate materials (current and dated curriculum vitae; awards and recognition; publication and presentation information; advisory information; research statement and funding history; teaching statement, teaching evaluations, and related information; service; representative publications and other scholarly and technical output; book reviews or readers’ reports);
2. the Chair’s written request to form an ad hoc committee; and
3. the department referee list.

The Chair’s written request describes the process by which the candidate was identified, the candidate’s current institution rank and tenure status, the candidate’s scholarly achievements as seen by members of the department, the fit of the candidate’s research area with the long-range plans of the department, school, and university and the candidate’s corresponding impact, and a tally of the faculty vote.

The department referee list shall provide the names and institutional affiliations of seven department-selected external referees, brief biographies including standing in the field, the basis of selection, and any special relationships between the referees and the candidate. The department shall consult with the Dean about suitable referees, but the final choices are made by the department. The department shall neither solicit letters from these referees directly nor contact them to assess their willingness to provide letters. The candidate should not provide the Chair with a list of leaders in their field or recommend any letter writers. The involvement of the candidate should be limited to providing the names of anyone the candidate feels could not give an impartial evaluation letter (and the reason why), although the Chair may still select as referees scholars on the list. If the department has solicited letters as part of the search process, these letters must be included in the dossier submitted to the Dean, along with a detailed account of the

correspondence by which they were solicited. Letters of recommendation solicited by the candidate during the recruitment process must also be included in the dossier. Neither letters solicited by the candidate nor letters solicited by the department as part of the search count toward the external reviews required for appointment and tenure. The department should not select as a referee someone who has already provided a letter of recommendation for the candidate during the search.

#### *Ad Hoc Committee Procedures for Appointments at the Rank of Full Professor*

If the Dean approves the Chair's written request, the candidate shall be evaluated by an ad hoc committee drawn from the tenured faculty of the University at the Full Professor rank. It is the responsibility of the ad hoc committee to evaluate the candidate's qualifications for appointment as thoroughly and impartially as possible and to communicate that evaluation to the Academic Council. The committee must not view itself as an advocate for either the department or the candidate. The ad hoc committee's recommendation should be informed by its own impartial evaluation of the candidate's scholarly research, undergraduate and graduate teaching, and service to the department, school and University.

The ad hoc committee shall consist of two faculty members, at least one of whom is a tenured faculty member in one of the Homewood Schools. Neither member shall be from the candidate's department. In appointing the committee, the Dean will attempt to appoint a disinterested and balanced group of faculty capable of evaluating significant aspects of a candidate's work and shall inform the Academic Council of the committee's membership at the time it is appointed. Faculty holding a secondary appointment in the candidate's department are automatically disqualified from serving on the ad hoc committee if they served on the search committee, participated in any of the votes at the departmental level, or have voting rights for appointments or promotions in the candidate's department. Academic Council members will be appointed to ad hoc committees only in unusual circumstances.

Faculty will generally not be appointed to ad hoc committees charged with considering candidates with whom they have published or have applied for or received research funding. Ad hoc committee members shall disclose these or any other relationships with the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III, Conflict of Interest, above). This disclosure shall be included as an addendum to the candidate dossier.

The constitution of an ad hoc appointment committee shall be held in confidence. Should the candidate learn the composition of the committee or the confidentiality of the process otherwise be compromised, or should a real or perceived conflict of interest exist between ad hoc committee members and the candidate, as circumstances indicate the Dean may suspend the work of the committee and appoint a new one. Members of the faculty must refrain from attempting to learn the composition of an ad hoc committee and from contacting the committee.

The ad hoc committee is furnished with the candidate dossier provided by the department to the Dean. The committee shall then supplement this material by soliciting external letters of evaluation from each of the referees selected by the department and from referees it selects. The referee list shall be updated accordingly to include the names and institutional affiliations of the external referees selected by the ad hoc committee, brief biographies including standing in the

field, the basis of selection, and any special relationships between the referees and the candidate. (See *Guidelines for Selecting Referees* below.) The committee should request reviews from enough referees so that at least ten substantive responses are obtained, of which at least five responses are from referees selected by the ad hoc committee. The ad hoc committee may continue to select additional referees and solicit letters from them until the requisite responses have been received. The ad hoc committee should not select as a referee someone who has already provided a letter of recommendation for the candidate during the search. Letters that reveal previously unknown relationships with referees are not excluded; these and other relationships should be discussed in the department evaluation and the ad hoc committee report (see below, *Department Evaluation* and *Ad Hoc Committee Report*).

Either the department Chair or the Chair's designee shall serve as departmental liaison to the ad hoc committee. The identity of the liaison shall also be held in confidence. The role of the liaison is to provide information helpful to the committee in selecting referees. The liaison shall meet with the ad hoc committee at least once before it sends out requests for evaluation; during the process of this consultation, the liaison must be given the opportunity to comment on the qualifications, appropriateness, and impartiality of all proposed referees. The ad hoc committee may take such comments under advisement, although the liaison holds no veto over the selection of referees. At its discretion, the committee may ask the departmental liaison to provide background information on the field of the candidate's scholarly research. The liaison shall be given the opportunity to review the candidate materials before they are transmitted to the referees. However, the ad hoc committee chair is ultimately responsible for obtaining up-to-date materials from the department Chair. Beyond consulting on the selection of the referees, the role of the liaison shall be confined to responding to specific requests from the committee for information it deems relevant to making its recommendation.

The ad hoc committee then solicits letters from each of the referees selected by the department and from each of the referees selected by it. In exceptional cases, if the committee is unable to compile a satisfactory list of potential referees or to obtain the requisite number of letters, the committee may petition the Academic Council to allow the departmental liaison to furnish an extensive list of distinguished scholars with appropriate expertise to evaluate the candidate. Such a petition will only be approved if, after meeting with the chair of the ad hoc committee, the Academic Council agrees that there is no other reasonable alternative.

Under unusual circumstances, an ad hoc committee may solicit letters of appraisal from scholars holding a rank lower than that for which the candidate is proposed or from members of the Johns Hopkins faculty. While such letters shall be included in the candidate dossier, these letters are to be considered as supplementary information only and will not be used as a primary basis for the Academic Council's decision.

All contribution of the departmental liaison to the development of the list of referees and to any other aspect of the committee's deliberations should be documented carefully in the ad hoc committee's report. (See *Ad Hoc Committee Reporting Procedures*, below.)

Departments must make every effort to minimize the involvement of a candidate with his or her own appointment. Candidates should not contact potential referees concerning an appointment.

Any communications between the candidate and the committee should be channeled through the department Chair or the Dean, as appropriate. It should be emphasized that the candidate should not be apprised of the progress of a committee's evaluation or of any problems encountered.

Letters to the external referees should be co-signed by the chair of the ad hoc committee and by the Dean. The Academic Council Coordinator shall assist the ad hoc committee by managing the distribution of letters and appointment materials to the external referees, the collection of responses including evaluation letters and declinations from the referees, and the compilation of all other communications with referees. The Academic Council Coordinator shall apprise the ad hoc committee of the responses. To ensure that the committee completes its evaluation in a timely fashion, ad hoc committee chairs should repeat any evaluation request that has not elicited a response in a reasonable time period. Each ad hoc committee should expect to report to the Academic Council within three to four months of its appointment. Should this prove impossible for any reason, the committee chair should so notify the Dean.

When sufficient referee letters have been received by the ad hoc committee, the Academic Council Coordinator shall update the candidate dossier to include the following components:

1. the full list of referees selected by the department and by the ad hoc committee;
2. the accompanying biographical and selection information;
3. responses from referees selected by the department and selected by the ad hoc committee;
4. letters received;
5. declinations;
6. a sample letter request; and
7. all additional communications with the referees, including letters, emails, and other correspondence.

These materials shall be redacted to maintain the confidentiality of the membership of the ad hoc committee.

The updated candidate dossier shall then be provided to the ad hoc committee and to the Dean. In certain cases, upon review of the referee responses and other communications appended to dossier, the Dean may find that the ad hoc committee did not follow the procedures as expected, or that the evidence in the dossier is insufficient for the purpose of making a reliable recommendation. In such a case, the Dean may ask the ad hoc committee to take actions to supplement the dossier, such as meeting with the departmental liaison, soliciting additional letters, or consulting citation databases.

#### *Department Evaluation for Appointments at the Rank of Full Professor*

The Dean shall then provide the updated candidate dossier to the department Chair, who in turn shall provide the dossier to the voting faculty. Recommendations to proceed with the appointment must be made with the approval of a majority of the voting faculty of the department, a tally of their vote being recorded as an addendum to the candidate dossier. This addendum may also include an evaluation of the responses from referees selected by the department and by the ad hoc committee. Any minority views among the voting faculty should be represented accurately in the addendum. If faculty members holding the minority view are not satisfied that the final version of the department dossier adequately presents their view, they may provide a minority report within two weeks. The minority report is shared with the voting faculty and appended to the Chair's letter to become part of the candidate's dossier.

### *Ad Hoc Committee Report for Appointments at the Rank of Full Professor*

If the department recommends proceeding, the updated dossier including any minority report is provided to the Dean, who in turn provides the dossier to the ad hoc committee. The ad hoc committee then writes an ad hoc committee report that evaluates the candidate's qualifications for appointment and tenure.

The ad hoc committee report shall document all contributions of the departmental liaison. The ad hoc committee report may state possible reasons for failure of any referees to respond and describe any special relationships between the referees and the candidate disclosed by the referee responses or communications.

It is to be emphasized that the recommendation of the ad hoc committee should be based on the entire dossier, not only on the letters of evaluation that it has solicited from referees selected by the department or by itself. At its discretion, the committee also may make use of information available from other sources, such as book reviews and citation databases.

The completed ad hoc committee report shall be appended to the dossier.

The dossier including the ad hoc committee report is then provided by the Dean to the Chair of the department. The Chair will be given the opportunity, if he or she wishes, to respond to the ad hoc committee report in writing. Any such response will be added to the dossier. The Dean may, upon receipt of the departmental response, ask the ad hoc committee to take additional actions to supplement the dossier.

If the final ad hoc committee report is different in any significant respect from the version initially submitted to the Dean, the Dean must provide the Academic Council with a written account of the changes and the reasons for them.

The final dossier is then transmitted by the Dean's office to the Academic Council for its consideration. The case will be presented to the Academic Council whatever the recommendation of the ad hoc committee as to its disposition. The Chair of the candidate's department (or his or her designee) and the chair of the ad hoc committee each will appear before the Academic Council to provide any additional information that they may wish to present and to answer questions from the Academic Council. They will meet sequentially with the Academic Council; normally, the department Chair will appear first. In cases when a tenured departmental faculty member's field is closer to that of the candidate, the Chair may, at the Dean's discretion, choose to be accompanied by one such faculty member when appearing before the Academic Council. In the course of the Academic Council's deliberations, the Dean of the relevant School and the Provost will be invited to comment on the case.

Approval of an appointment requires that a majority of the Academic Council members present vote in the affirmative. It is customary not to vote on an appointment during the Academic Council meeting at which the ad hoc committee makes its report, but to table the recommendation until the next meeting of the Academic Council. If there is special urgency in making an appointment, the Dean may request a waiver of this holdover rule. At the end of the discussion of the case, the holdover rule may be waived by a three-quarters vote of the Academic



Council members who are present.

When the Dean's office distributes the final dossier to the Academic Council, all other materials relating to the report are to be submitted to the Dean's office or destroyed.

Following a recommendation by the Academic Council on a proposed appointment, the Dean's office will notify the ad hoc committee chair of the recommendation. As a courtesy, the department and ad hoc committee chairs should inform the referees of the outcome, thanking them for their efforts.

### *Guidelines for the Solicitation of Letters for Appointments at the Rank of Full Professor*

Both the department and the ad hoc committee shall select referees for evaluating the candidate's achievements and promise for the future from recognized authorities in the candidate's field(s) of expertise. Referees' letters are among the most important evidence in the dossier, and great care should be taken in assembling the list of referees.

It is important to choose referees with the expertise necessary to assess the candidate's scholarship. Opinions should be sought from a broad selection of referees, including adherents of different, even opposing, schools of thought. In the case of candidates whose work spans more than a single field, evaluations should be solicited from a group of referees whose collective expertise covers the range of the candidate's work. Referees will carry the rank of Professor or the equivalent. Because Hopkins must maintain a faculty of strong international reputation, opinions from foreign referees should be included where possible. In identifying the pool of potential letter writers, the committee should strive to balance the eminence of the referees with the likelihood that they will be able to provide an informative evaluation of the candidate's work.

The primary consideration by departments and ad hoc committees should be whether the group of referees, taken as a whole, has the necessary expertise in the discipline to assess the candidate's scholarship while still having an appropriate degree of impartiality. Although it would be a mistake to assemble a group of referees with a preponderance of members known to be close to the candidate, it would also be a mistake to avoid individual referees with especially relevant expertise solely on the basis of a professional relationship with the candidate.

Any candidate who is an active scholar will form professional relationships with other scholars who are potential referees. For example, a candidate might co-organize conferences or symposia, contribute to edited volumes, or invite or be invited to give seminars. Such routine relationships should not disqualify the individuals involved from writing letters; indeed, these people may be ideally suited to assess the candidate's scholarship.

Some particularly close relationships may compromise the objectivity of the referee. For example, solicitation of letters from former doctoral or post-doctoral advisors, colleagues from the same institution, or individuals with a sustained record of collaboration with the candidate is discouraged.

In every case it is essential that there be full disclosure of all known relationships between the referees and the candidate. To this end, when letters are solicited the referees should be asked explicitly to disclose any relationships they may have with the candidate. These relationships

should be described in the department's letter to the Dean or the ad hoc committee report, as appropriate.

### *Guidelines for Preparing the Request for Letters for Appointments at the Rank of Full Professor*

Template letters are provided on the Academic Council website (<https://academiccouncil.jhu.edu/appointments-promotions/>). With prior approval from the Dean's Office or from the Appointments and Promotions subcommittee, the department or ad hoc committee may modify these templates to suit individual circumstances, but the following points should be observed:

- The referees should be asked to compare the candidate with others who are at the same stage of their career in the same or comparable fields of research, and to evaluate the likelihood that the candidate will equal the achievements of current leaders in the field, regardless of seniority.
- Referees should be invited to comment on the candidate's abilities as a teacher.
- It should be indicated that the appointment involves the conferral of tenure.
- Great emphasis should be placed upon the fact that the referee's responses will be treated with strict confidentiality; referees shall be informed that only senior faculty in the department and those directly involved in the evaluation process will see their responses.
- The referees should be asked explicitly to disclose any relationship they may have with the candidate.

The committee shall supply each referee with the candidate materials including vita, teaching statement, research statement, and copies of at least a representative sampling of the candidate's scholarly work.

### *Exceptional Circumstances*

Under truly exceptional circumstances, the Academic Council may decide to follow an alternative procedure in considering an appointment, such as choosing not to solicit external letters. However, under no circumstances may the Academic Council suspend its rules for voting on appointments.

### *Transparency of the Appointment Process*

It is in the best interests of the candidate, the department, and the University for the appointment process to be as open and transparent as possible, consistent with the privacy of the individuals involved and the confidentiality of both internal and external evaluations. Therefore, after each decision in the appointment process — that is, a) the department decision whether or not to put the candidate up for appointment, b) the Dean's decision whether or not to appoint an ad hoc committee, c) the Academic Council's decision whether or not to recommend the appointment to the President, d) the President's decision whether or not to recommend the appointment to the Board of Trustees, and e) the final decision of the Board of Trustees — the candidate, the department, the Dean, and the Academic Council should be promptly informed of the decision.

### *VIII. Reconsideration of Negative Promotion Decisions*

A negative promotion decision may be appealed. An appeal must be in writing and must contain a clear and detailed description of the specific grounds for the appeal according to the guidelines below. All appeals must be submitted within 30 days of notification of a negative decision. However, no appeal may be filed in cases where the resolution or remedy to the appeal would conflict with a policy or mandate of the Board of Trustees of the University. A decision on the appeal will be made within 30 days and the candidate notified.

#### *Departmental Decision without Solicitation of External Letters of Evaluation*

If a department votes not to recommend a candidate for promotion and has not solicited external letters of evaluation, a candidate may appeal the department's decision to the Dean on two grounds only:

1. substantial new evidence bearing on the candidate's scholarly research and professional standing;
2. clear evidence of impropriety substantially affecting the outcome of the promotion process.

An appeal may not be taken on grounds that the candidate disagrees with the department's evaluation of his/her scholarly research, teaching performance, contribution to the department's academic program, or fiscal considerations. An appeal also may not be based on allegations concerning the effect of allocations of departmental resources on the candidate's performance.

The Dean can either support the departmental decision not to promote or return the case to the department for reconsideration with the requirement that external letters be obtained.

#### *Departmental Decision after Solicitation of External Letters of Evaluation*

If the department has solicited external evaluation letters and subsequently votes not to request the formation of an ad hoc committee, the candidate may appeal directly to the Dean. The appeal may be based only on the grounds enumerated above.

The Dean may either support the departmental decision or proceed with the formation of an ad hoc committee.

#### *Dean's Review*

If the Dean decides not to form an ad hoc committee for a candidate, an appeal may be made by the candidate to the Provost on the grounds of procedural violations only.

#### *Adverse Academic Council Decision*

When a candidate has been denied promotion by vote of the Academic Council, the candidate's department has the right to request reconsideration of the decision (unless the candidate is in the terminal contract year, when no departmental appeals are permitted). Should the department not request reconsideration, the candidate may submit a written request for reconsideration to the

Dean, based only on the two following grounds: substantial new evidence bearing on the candidate's scholarly research and professional standing or clear evidence of impropriety substantially affecting the outcome of the promotion process.

Upon receipt of an appeal for reconsideration, the Dean may:

1. deny the request and notify the Academic Council as an information item, presenting the basis for the decision;
2. appoint a new ad hoc committee to review the case and recommend action to the Academic Council;
3. transmit the request to the Council for consideration, together with all of the documentation bearing on the original decision to deny promotion, and any other relevant material.

Upon receipt of an appeal, the Dean shall make appropriate inquiries of the department and inform the Academic Council concerning the results of these inquiries. The Dean should also notify the Council concerning the course of action that he or she intends to pursue in the case.

After consultation with the Dean, the Council may decide to uphold the Dean's disposition of the case. If it does not, it may elect to conduct its own review of the case, or it may delegate such an investigation to a subcommittee of the Council whose findings and recommendations shall be submitted to the Dean and reported to the Council as a whole. As a result of its consideration of the appeal, the Council may vote to uphold the decision of the Dean, or it may recommend that the Dean form an ad hoc committee to evaluate the candidate's qualifications for promotion.

If the Dean declines to carry out the recommendation of the Academic Council, the Council may present the case to the Provost for resolution.

### *Provost Appeal*

All individuals denied promotion by the Dean or the Academic Council, having exhausted any other appeals, may appeal to the Provost. The Provost's review of the matter is limited to alleged procedural violations resulting in a failure to conduct an impartial evaluation of the candidate's academic qualifications.

The Provost may send the case back to the level from which it was appealed, with instructions to correct the violations, or deny the appeal. If the violations are irreparable, the promotion case shall begin again de novo. There is no further appeal of a negative decision.

### *IX. Procedures for Interim Review of Faculty at the rank of Assistant Professor*

Departments should review carefully the academic progress of each untenured faculty member annually, and the department chair should inform each person reviewed of the department's evaluation. It is particularly important that faculty whose performance is not up to expectation be informed of the department's concerns, and that those concerns be openly discussed in a forthright, helpful manner.

In the fourth year of appointment of an Assistant Professor, the department shall prepare a formal report on the faculty member's progress. Any tenure clock extensions prior to the candidate's fourth year of appointment will delay the interim review. This Interim Review should evaluate accomplishment in teaching, scholarly research and service since the appointment, and assess to the extent possible the outlook for eventual promotion to tenured Associate Professor. The department may follow a procedure of its choosing in preparing the Interim Review, although departments are not encouraged to solicit outside letters.

The Chair shall then draft a letter to the faculty member, on behalf of the department, summarizing the Interim Review and making whatever recommendations may be indicated. If the senior faculty have explicit expectations for what needs to be accomplished before they would consider recommending conferral of tenure, these expectations should be made clear in the letter. However, care must be taken to avoid the implication that a positive recommendation would follow simply from the formal satisfaction of such requirements. The Interim Review must be endorsed by a vote of the tenured faculty in the department.

The Chair shall then meet with the Dean to discuss the Interim Review and the proposed letter. Interim reviews are due to the Dean's Office no later than April 15 for faculty whose appointments began July 1- December 31 and no later than October 15 for faculty whose appointments began January 1- June 30. The Dean may suggest changes to the letter, and may consult with the Office of the General Counsel on its wording. The Dean and the Chair must agree on the final form of the letter, which is then sent to the faculty member. Copies of the Interim Review and the letter are retained by the department and by the Dean, and they may be consulted when, subsequently, the faculty member is considered for promotion to tenure. To ensure the confidentiality and rigor of the review process, the Interim Review itself is not shared with the faculty member.