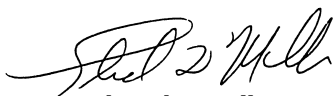

FOREWORD

In 1992, a joint committee of the Medical School Council and the Advisory Board of the Medical Faculty generated a set of policies and guidelines governing the professional activities of the part-time faculty of The Johns Hopkins University School of Medicine.

These policies, incorporated into this book, provide a valuable framework for the important collegial relationship between faculty members, their department directors and the Dean.

This book is a useful guide to reinforce the attitude of trust and good faith often cited as a core value that sets Hopkins apart from other institutions.



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Dean of the Medical Faculty
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POLICIES AND GUIDELINES GOVERNING APPOINTMENTS, PROMOTIONS, AND PROFESSIONAL ACTIVITIES FOR THE PART-TIME FACULTY OF THE JOHNS HOPKINS UNIVERSITY SCHOOL OF MEDICINE

Historically, the Dean and clinical department directors have acknowledged the vital role played by the private practice segments of the part-time faculty in the instruction of medical students and resident physicians. In addition, these university- credential and appointed practitioners have contributed importantly to the clinical, administrative, and research programs of the medical school and hospital.

Working side by side with the full-time faculty, the part-time faculty has added an important dimension to the learning experience. Students benefit from a faculty thus composed. Moreover, the part-time faculty help to fulfill the missions of the medical school: to encourage the scholarly pursuit of medicine, to train future generations of medical scientists and educators, and to instruct those who are primarily concerned with patient care.

Private practitioners bring large numbers of patients to the medical center, providing an important source of patients for the education of those in training. These patients also become potentially available for ongoing clinical research projects which ultimately contribute to and strengthen the institution's generation of new knowledge. More and more patients are being treated away from the core of the hospital at peripheral locations, settings more like private practice. The part-time faculty is experienced in providing first rate, cost-effective care at a variety of ambulatory locations and is prepared to teach and assist in the provision of that care.

The document which follows acknowledges the role of the part-time faculty. The document addresses the institutional need to apply special policies and guidelines for the appointment and promotion of part-time faculty based on their ability and active participation in the programs of The Johns Hopkins University School of Medicine.

I. GENERAL CONSIDERATIONS

A. PURPOSE OF THIS DOCUMENT:

It is a longstanding tradition at The Johns Hopkins University School of Medicine that obligations of part-time faculty members and the School to each other are established through an informal system of negotiations and agreements made in good faith between a faculty member and his or her department director and with the Dean. The policies and guidelines set forth here for the part-time faculty provide a framework in which these good faith interactions may continue. They should in no way inhibit direct personal interchanges between faculty members, department directors, and the Dean on issues related to their joint responsibilities.

B. OBLIGATIONS OF THE SCHOOL OF MEDICINE TO ITS PART-TIME FACULTY MEMBERS ARE:

1. To protect the right of each faculty member to academic freedom: that is, the right to pursue knowledge and the right to speak freely as responsible citizens without institutionally imposed, arbitrary restrictions;
2. To judge a faculty member as a scholar, teacher, clinician, and/or administrator, based solely on legitimate intellectual and professional criteria and without regard to race, color, religion, gender, age, national or ethnic origin, veteran status, political view, homosexuality, handicap, or any other legally impermissible criteria;

3. To provide an appropriate intellectual environment for scholarly growth and achievement. To the extent possible, and commensurate with the effort of the part-time faculty member, the institution will assist in providing the faculty member with the opportunity for creative scholarship and publication; and
4. To provide opportunity for academic advancement and to consider appointments and promotions to faculty positions on the basis of criteria and procedures described herein.

C. OBLIGATIONS OF THE PART-TIME FACULTY MEMBERS TO THE SCHOOL OF MEDICINE ARE:

1. To carry out assigned academic duties;
2. To teach, care for patients and/or conduct research, with professional competence, intellectual honesty, and high ethical standards;
3. To develop and improve their professional abilities;
4. To participate in advisory or committee assignments necessary for the development of academic programs, in advising students, and in the governance of the School of Medicine;
5. To devote a reasonable portion of their professional energies to activities that further the goals of the Institution and to share in the more general responsibilities of the faculty to the University, the local community, and society at large;

6. To disclose fully and promptly any potential conflict of interest as it relates directly to their activities as non-salaried faculty members[*], and to abide by the Rules and Guidelines for Responsible Conduct of Research, as set forth in the relevant portions of the *Faculty Policies, The Johns Hopkins University School of Medicine*, brochure; and
7. To represent the best interests of The Johns Hopkins University.

D. INSTITUTIONAL GOALS:

The Johns Hopkins University School of Medicine has a two-fold institutional goal: to educate medical students, graduate students and postdoctoral fellows in accordance with the highest professional standards, and to encourage faculty members to assume leadership roles in teaching, research, clinical practice and/or administration. The pursuit of these goals reaffirms the historic role of this School.

* Salaried part-time faculty members, regardless of their full-time equivalency, are under the same obligations as full-time faculty to report contemplated activities that may have the appearance of a conflict of interest, regardless of the relationship of their outside activity to their activity as a faculty member.

II. APPOINTMENTS & PROMOTIONS OF PART-TIME FACULTY

A. PRINCIPLES GOVERNING APPOINTMENTS AND PROMOTIONS OF PART-TIME FACULTY:

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

The School of Medicine, through the Department and (where applicable) the Division Directors, shall encourage part-time faculty members in the development of their academic careers. A formal academic review is to be held every two years, initiated and monitored by the Dean's Office. The review requires completion of a statement detailing the activities of the part-time faculty member within the division and/or department. Submission of the statement will coincide with the biennial reappointment process for Johns Hopkins Hospital (JHH) medical staff privileges. The Department Director or designee shall review the activity statement with the part-time faculty member, determine whether the faculty member has met departmental expectations, and make one of three recommendations which are 1) reappointment

at rank with specification of the activities expected of the faculty member, or 2) reappointment with promotion and specification of the activities expected of the faculty member, or 3) termination of appointment. A document summarizing the review and recommendation shall be given to the faculty member.

Advancement through the ranks is not an automatic consequence of service on the part-time faculty for any given number of years. Rather, it is a privilege conferred in recognition of merit on an individual faculty member by action of the Advisory Board, as set out below.

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

While the academic goals of teaching, research, service and patient care are held in common by all faculty, it is recognized that the part-time faculty is primarily committed to and involved in clinical care, teaching and service. Thus, considerations for appointment or promotion of part-time faculty to all ranks include many of the criteria used for the full-time faculty, but with increased focus on clinical activities, teaching, and service. It should be recognized that academic advancement may be at a different rate in the part-time faculty as compared to the full-time faculty.

The general criteria for appointment and promotion are as follows:

1. **Scholarship** - Scholarship encompasses two important elements: the generation of new knowledge and/or the dissemination of knowledge to others. For this reason, a candidate's publications form an important basis for assessing scholarly productivity. However, teaching is also an important scholarly activity.

- *Teaching* - Excellence in teaching requires not only an objective, up to date, accurate and balanced command of the field being taught, but also effective communication skills. Course leadership, design, and participation; the judgment by students, trainees, and peers; and meritorious publications all may also be considered when a faculty member's teaching is assessed.
 - *Research* - New knowledge can take many forms, including important clinical observations, clinical research findings, laboratory research and integrative research.
2. **Clinical distinction** - For faculty members who are clinicians, clinical distinction comprises professional excellence, integrity, ethics, and empathy in treating patients. Other elements of clinical distinction important for a faculty member's promotion include a national or international reputation, election to distinguished medical societies relevant to achievement in his or her field, the application of new knowledge, and meritorious publications.
 3. **Service** - Service is assessed by evaluation of the individual's contribution to administrative, committee, or related activities for the faculty member's department or for the School of Medicine.

III. PART-TIME FACULTY APPOINTMENTS

A. FACULTY RANKS:

Ranks for both full- and part-time faculty at The Johns Hopkins University School of Medicine include Instructor, Assistant Professor, Associate Professor, Professor, and the special faculty ranks of Assistant, Lecturer, Research Associate, and Visiting Scientist. Adjunct Associate Professor and Adjunct Professor are solely part-time appointments.

For the purposes of this document, the designation of a duly appointed faculty member as part-time means that the faculty member does not meet the criteria for full-time status as defined in the *Policies and Guidelines Governing Appointments, Promotions, and Professional Activities of the Full-time Faculty of The Johns Hopkins University School of Medicine*. The designation as part-time used here does not necessarily correspond in any way with the standards used to determine eligibility for University benefits.

A faculty member's status (full-time or part-time) is a matter of contract between the faculty member and the University and is specified in each faculty member's letter of appointment.

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

B. EMERITUS STATUS:

As an award and recognition of distinguished achievement and service, the honorary title of emeritus may be granted by the Board of Trustees, acting on the recommendation of the ABMF, to faculty members upon their retirement from the School of Medicine. Emeritus part-time faculty who remain active (i.e., those in partial retirement) are subject to the usual customary policies applicable to the part-time faculty. Except in extraordinary circumstances, promotions in faculty rank are not granted once emeritus status is reached. Individuals retiring from the full-time faculty, but still actively involved in University affairs, will be designated full-time retired rather than part-time.

C. JOINT APPOINTMENTS:

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

1. **Interdepartmental Joint Appointments:**

There are two types of joint appointments within the School of Medicine. The first type is a Joint Appointment with Title. In Joint Appointments with Title, the full range of academic titles may be used. For example, Professor of _____, and Associate Professor of _____, or Assistant Professor of _____ and Instructor in _____. The second type is designated by the term "Joint Appointment", for example Associate Professor of _____ and Joint Appointment in _____.

In either case, there is one and only one primary appointment. Contract periods and the timing of reappointment reviews, as outlined below, are determined by the faculty member's primary appointment only.

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

- 2. Interdivisional Joint Appointments:** The University policy on joint appointments allows a faculty member to hold an appointment in two divisions of the University, e.g. the School of Medicine, the School of Arts and Sciences, or the Applied Physics Lab. However, academic rank is accorded to the faculty member by one and only one academic division. That division has the primary appointment and is responsible for the faculty member's academic advancement. Appointments in all other divisions will be secondary. No academic rank is assigned for secondary interdivisional joint appointments; for example, Associate Professor of _____ with a Joint Appointment in [department name].

IV. ACADEMIC ADVANCEMENT OF PART-TIME FACULTY

Part-time faculty members of the School of Medicine follow a defined path of career development, from appointment through stages of review and promotion. The academic activities of all part-time faculty members must be reviewed at least every two years by the Department Director or designee, and the results of the review must be shared with the faculty member, as described in II.A. The Department Director can recommend a faculty member for promotion at any time. Each year the Department Director must make one of three recommendations for each part-time faculty member: reappointment at rank, promotion, or termination of yearly appointments if the individual is no longer contributing satisfactorily to the efforts of the Department. There is no maximum time in rank for part-time faculty.

All part-time faculty appointments are for one year; to be renewed annually.

A. APPOINTMENT TO THE RANK OF INSTRUCTOR:

1. *Criteria for appointment or promotion to rank:*

Part-time faculty members holding the rank of instructor are expected to have completed formal training, to have developed the skills required for their clinical field or basic science discipline, and to show potential for growth in academic pursuits.

2. *Procedure for appointment or promotion:*

- Review of academic activities and consultation within department
- Director of Department makes recommendation to the ABMF

- ABMF reviews the recommendation and submits approved recommendations to the Dean who notifies the faculty member of the promotion or appointment.

3. *Procedure for Reappointment Review:*

- Reviews occur every two years, utilizing the same schedule as the JHH medical staff appointment process, as described in II.A.

B. APPOINTMENT OR PROMOTION TO THE RANK OF ASSISTANT PROFESSOR:

1. *Criteria for appointment or promotion to rank:*

Part-time faculty members holding the rank of Assistant Professor are expected to demonstrate clear academic development and recognition within the Institution for excellence in a clinical field and/or scientific discipline, and there must be evidence of skill and commitment to teaching responsibilities. The teaching must be directed toward medical care personnel, medical students, graduate students, postdoctoral fellows or practicing physicians in postgraduate courses.

2. *Procedure for appointment or promotion:*

- Review of academic activities and consultation within Department
- Department Director makes recommendation to the Agenda Committee of the ABMF. After a review by the Agenda Committee, endorsed nominations are forwarded to the ABMF.
- ABMF reviews and submits favorable recommendations to the Dean, who notifies the faculty member of the promotion or appointment.

3. *Procedure for Reappointment Review:*

- Reviews occur every two years, utilizing the same schedule as the JHH medical staff appointment process, as described in II.A.

C. APPOINTMENT OR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR

1. *Criteria for appointment or promotion to rank:*

Appointment or promotion to the rank of Associate Professor, part-time, requires a record of excellence in teaching and superb clinical care sufficient to have earned the faculty member a reputation for excellence that extends beyond the Institution, leadership in academic activities, evidence of commitment to The Johns Hopkins Medical Institutions as demonstrated by active participation in the affairs of the School, and, when applicable, acceptance of administrative responsibilities.

2. *Procedure for appointment or promotion:*

- A department advisory committee and the Director of the Department review the candidate's academic activities
- Director of the Department makes recommendation to the Dean
- Dean forwards recommendations to the ABMF and the Associate Professor Promotions Committee

3. *Associate Professor Promotions Committee:*

The Associate Professor Promotions Committee reviews recommendations from the Department Director for promotions to the rank of Associate Professor. The Committee seeks information on the candidate from both within and outside the School of Medicine. It reports endorsements both to the Dean and directly to the ABMF. If the Committee recommends not to promote or appoint a faculty member, it reports this decision to the Dean who transmits it to the Department Director.

A favorable recommendation by the Committee must be reviewed and approved by the ABMF which submits approved recommendations to the Dean who notifies the faculty member of the appointment or promotion.

4. *Procedure for Reappointment Review:*

- Reviews occur every two years, utilizing the same schedule as the JHH medical staff appointment process, as described in II.A.

D. APPOINTMENT OR PROMOTION TO THE RANK OF PROFESSOR:

1. *Criteria for appointment or promotion to rank:*

Candidates for Professor must have outstanding records of scholarly achievement in teaching, must have achieved national or international recognition, and must have a broad general knowledge of their disciplines and related areas. They should play a major leadership role in academic affairs and exhibit unquestioned dedication to the Institution. A general criterion for appointment or promotion to Professor is to rank nationally among the foremost leaders in their field.

2. *Procedure for appointment or promotion:*

- Director of Department reviews the academic activities of the candidate with the aid of a departmental or interdepartmental committee.
- Recommendation is forwarded to the Dean who transmits the recommendation to the Professorial Promotions Committee.

3. *Professorial Promotions Committee:*

The Professorial Promotions Committee receives nominations for appointment or promotion to the rank of Professor and, after extensive review, either makes a recommendation to the ABMF for appointment or promotion or reports to the Dean that it does not recommend appointment or promotion. If the Committee recommends not to promote or appoint a faculty member, the Dean transmits this decision to the Department Director. The Department Director has the right to appeal this decision to the ABMF. If the Committee does not recommend promotion to Professor, the candidate must wait two years from the end of the Committee's deliberations before being considered again.

- Favorable recommendation from the Committee is sent to the ABMF for review.
 - A favorable recommendation of the ABMF is sent to the Trustees of the University. Trustee approval is required.
 - Upon approval by the Trustees, the Dean notifies the faculty member of the appointment or promotion.
4. *Procedure for Reappointment Review:*
- Reviews occur every two years, utilizing the same schedule as the JHH medical staff appointment process, as described in II.A.

V. CONTRACTS AND CONTRACT PERIODS

A. LETTERS OF APPOINTMENT:

A contract between the School of Medicine and a part-time faculty member shall be for no more than one year, and it shall specify, if applicable, the salary.

Acceptance of the contract for both parties means acceptance of all applicable rules and regulations of the School of Medicine, as well as those of the University. Letters of appointment must be signed by the faculty member and returned to the Dean's Office within thirty days of receipt.

B. NOTICE OF NONRENEWAL OF CONTRACTS:

A minimum of six months written notice of nonrenewal shall be given to those who have served on the School of Medicine faculty for less than two years, or to faculty members serving under an appointment as a part-time Instructor or part-time Assistant Professor. All other part-time faculty members shall receive a minimum of twelve months notice of nonrenewal.

C. TERMINATION OF CONTRACTS:

A contract may be terminated by the faculty member by notifying the Department Director in writing six months, or less by mutual consent, prior to the scheduled date of termination. It is understood that just as the contract is legally binding on the University, it is also binding on the faculty member. The only circumstances under which the School of Medicine may prematurely terminate a contract with a part-time faculty member are where just cause or financial exigency exists.

1. *Just Cause*: Incompetence, neglect of duty, misconduct in office or academic misconduct including scientific misconduct as defined in the document entitled *Rules and Guidelines for Responsible Conduct in Research* shall constitute just cause for termination of the contract of a part-time faculty member. Terminations for just cause shall be initiated by the Department Director. After written notice of the charge is given to the faculty member, the matter shall be heard and decided by the ABMF. In the case of scientific misconduct, procedures are described in *Procedures for Dealing with Issues of Scientific Misconduct*. If the ABMF finds that just cause for termination exists, the affected faculty member shall have the right to appeal to the Dean within ten days of receipt of the ABMF's decision. A decision by the ABMF to terminate the contract of a faculty member shall not take effect until the exhaustion of timely appeals, if any are forthcoming.

2. *Financial exigency*: Financial exigency in the School of Medicine is defined as either an anticipated School-wide or departmental budgetary deficit so great that a reduction of faculty salaries or faculty positions must be contemplated. A state of exigency within a department which will only affect part-time faculty members may be announced at any time by the Department Director to the Dean. The Dean shall determine, by consultation with the Department Director, the magnitude of the financial exigency and the extent of reduction if any in the fiscal obligations of the Department to the part-time faculty which must be effected in order to resolve the exigency. If the Dean decides that the Department must reduce its existing salary obligations to the part-time faculty, reduce the number of current paid part-time faculty positions, or both, the part-time faculty so affected shall be notified in writing. The Dean's decision is final.

VI. SALARY OF PART-TIME FACULTY MEMBERS

SALARY GUARANTEES:

Since the vast majority of part-time faculty do not receive any salary from the School of Medicine, this provision applies only to those who receive some part-time salary.

The salary level is established yearly by the Department Director with the approval of the Dean. In addition to the availability of funds, some factors considered in the setting of salary include academic rank, years of service, and contribution to the University programs of teaching, research, service and patient care. There will be no guarantee of salary by The Johns Hopkins University when payment comes directly from other institutions or agencies (i.e., not via The Johns Hopkins University payroll).

VII. EQUAL OPPORTUNITY

Equal opportunity is a fundamental principle governing all University activities for faculty, students, and staff. The Johns Hopkins University welcomes and encourages qualified individuals to enter and progress within all University programs and activities on the basis of demonstrated ability, performance, and merit, without regard to race, color, religion, gender, age, national or ethnic origin, veteran status, homosexuality, handicap, or any other legally impermissible criteria.

A. AFFIRMATIVE ACTION:

The University maintains affirmative action programs as required by law and as a commitment to the effective use of available human resources.

B. UNIVERSITY POLICY ON SEXUAL HARASSMENT:

Sexual harassment will not be tolerated. Sexual favors may not be required either explicitly or implicitly as a term or condition of an individual's academic progress or employment. Sexual conduct or conduct with sexual overtones which have an effect of unreasonably interfering with an individual's academic or work performance or which creates an intimidating, hostile, or offensive learning or working environment is prohibited. The University will promptly investigate complaints of sexual harassment and, when necessary, will institute disciplinary proceedings against the offending individual. Complaints about sexual harassment or questions about University policy can be brought to Department Directors, the Dean, or the University's Affirmative Action Officer. All problems of this nature will be treated confidentially.

VIII. GRIEVANCES

Part-time faculty members, at any time, may seek counsel and advice regarding any aspect of their appointment and/or promotion from the Office of the Associate Dean for Academic Affairs.

Part-time faculty members who have reason to feel they have not been treated fairly under any of the various provisions set out in this document may request a review of their grievance according to prescribed procedures as specified in the document, *Grievance Procedure for the Faculty, Fellows and Student Body of The Johns Hopkins University School of Medicine*.

IX. ACADEMIC LEAVES OF ABSENCE

Part-time faculty members may apply for occasional leaves of absence for scholarly and educational purposes when significant opportunities present themselves and when the leave can be arranged without expense to the School of Medicine and without impairing educational programs. Such leaves are recognized to increase the value of the faculty member to the School and to the University. Academic leaves are not an automatic, periodic right, but must be applied for through the Department Director and approved by the Dean.

During an academic leave, the part-time faculty member is excused from the mutually agreed upon academic obligations, and this will not jeopardize reappointment when the leave expires. The time a faculty member spends on academic leave will be included in the time periods for reappointment review.

Academic leave for part-time faculty members will not include any financial support from The Johns Hopkins University School of Medicine.

X. REVIEW AND AMENDMENT OF THIS POLICY

Amendment of this policy may be proposed at any time by either the Medical School Council or the Advisory Board and will be considered by a Joint Committee. The Committee will then make a recommendation to both bodies. The amendment will take effect when it is approved by both the Medical School Council and the Advisory Board. In any event, a Joint Committee of the Medical School Council and the Advisory Board shall review the policy before the end of the tenth year following its implementation.

Approved by: The Advisory Board of the Medical
Faculty, October 21, 1992
and The Medical School Council,
September 16, 1992

