

**THE TEXAS A&M UNIVERSITY SYSTEM
HEALTH SCIENCE CENTER INTERNAL POLICIES**

12.01.99.Z1.01 Faculty Appointment, Promotion and Tenure

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All tenure and promotion policies and procedures in The Texas A&M University System Health Science Center (HSC) will adhere to the general regulations specified by The Texas A&M University System (TAMUS). Individuals may be appointed to the faculty of one or more of the HSC components in several tracks, depending on their field of academic expertise, time commitment, and area(s) of major responsibility.

I. Faculty Tracks Overview

A. Principal Faculty

Principal Faculty are those who contribute 50% effort or greater to the academic mission of the HSC [1], in either the tenure track or the non-tenure track (see definition in Section I.A.1). Since Principal Faculty contribute to the academic mission of the HSC in various and diverse fashions, a number of different tracks are available which reflect this broad spectrum of faculty participation and accommodate these myriad contributions. Principal Faculty appointed in the traditional tenure track must be at least 50% directly salaried employees of the HSC. Principal Faculty appointed in the tenure in title only track must be at least 50% directly salaried employees of formal HSC affiliates. Principal Faculty in the non-tenure tracks must be at least 50% directly salaried employees of one of the HSC components and/or by a formal HSC affiliate. Exception to the 50% directly salaried employment requirement may be made under unusual circumstances, but exemptions require the approval of the Component Head [2] and the HSC President. Principal Faculty, whether in the tenure or Non-tenure tracks, will use the same set of faculty titles. All Principal Faculty will be represented appropriately in faculty governance according to the faculty governance policies of the HSC and will be eligible to apply for Graduate Faculty status.

Below is a list of the Principal Faculty tracks. More complete definitions of the criteria for appointment and promotion in each track are found in Sections II and III. Tenure and/or promotion review will be conducted only once a year as defined in Sections III and IV. Requests for initial appointments can be made at any time and will be reviewed as above on an *ad hoc* basis.

1. Tenure Track

Tenure track faculty members are individuals who make at least a 50% contribution or greater (see Frequently Asked Questions “FAQ on Appointment, Promotion and Tenure” located on the HSC Rules Page under 12.01.99.Z1.01 (IP) <http://www.tamhsc.edu/facultystaff/rules/faq-apt-updated-04152011.pdf>) in the academic areas of research, education, or professional service to the HSC. There are two tenure tracks: 1) traditional tenure track and 2) tenure in title only tenure track. Traditional tenure, as defined by the HSC, is a continuous appointment offered to tenure track Principal Faculty members in recognition of their demonstrated capabilities reflecting continued worth to the HSC in anticipated intellectual development and performance. Tenure in title only, an honorific title recognized by many colleges of medicine through the United States, is only available in the College of Medicine.

Once granted traditional tenure, the appointment carries all rights and privileges of tenure, including title and salary guarantee by the HSC. TAMUS Policy 12.01 (Academic Freedom, Responsibility, and Tenure) applies to each of the institutions in the TAMUS. Traditional tenure, as defined by the TAMUS, is the entitlement of Principal Faculty members to continue in their academic positions unless dismissed for good cause. TAMUS Policy 12.01 defines good cause for dismissal of a tenured Principal Faculty member and specifies procedures for dismissal for cause hearings.

Once granted tenure in title only the appointment carries only the privilege of representing oneself as a tenured faculty member of the HSC. Once appointed with tenure in title only, faculty (employed by a formal HSC affiliate) will not be allowed to switch to the traditional tenure track, but will be reviewed on the same traditional tenure track cycle. They will be allowed, however, to apply for an open traditional tenure track position. Faculty with traditional tenure (HSC-employed) cannot be switched to the tenure in title only designation.

Tenure may be recommended for newly appointed faculty with final approval by the Board of Regents, but the granting of tenure is not automatic and will be considered on a case-by-case basis.

Ranks

Assistant Professor: An individual with a doctoral or other appropriate terminal degree who has potential in research, education or professional service, and institutional service.

Associate Professor: An individual with a doctoral or other appropriate terminal degree who has demonstrated excellence in research, education or professional service and who has gained emerging national recognition. He/she also carries significant institutional service responsibilities on behalf of the HSC.

Professor: An individual with a doctoral or other appropriate terminal degree who has made exceptional contributions in research, education or professional service and who has gained a high level of national and/or international recognition.

He/she also carries significant institutional service responsibilities on behalf of the HSC.

2. Non-tenure Tracks

Non-tenure track faculty members are individuals who make at least a 50% contribution or greater (see Frequently Asked Questions “FAQ on Appointment, Promotion and Tenure” located on the HSC Rules Page under 12.01.99.Z1.01 <http://www.tamhsc.edu/facultystaff/rules/faq-apt-updated-04152011.pdf>) in the academic areas of research, education, or professional service to the HSC. Three Non-tenure Tracks are defined to accommodate the diverse contributions of the HSC faculty. Promotion in each track is based on the faculty member’s achievements in the track focus area. In addition, all Non-tenure Track faculty members are expected to provide appropriate institutional service (see FAQ) to the components of the HSC. Institutional service is an extremely important contribution to the mission of the HSC and will be evaluated appropriately during promotion considerations; however, service alone will not be sufficient for promotion in any track.

a. Tracks

Educator Track

This track is for individuals whose responsibilities are primarily in educational activities of the HSC, with little or no obligations in research or professional service. Promotion in the Educator Track is determined primarily by ratings on education accomplishments and secondarily on institutional service to the HSC. The specific criteria and rating scale used for evaluation of performance are described in Appendix A and see FAQ.

Research Track

This track is for individuals whose responsibilities are primarily in research activities of the HSC, with little or no obligations in education or professional service. Promotion in the Research Track is determined primarily by ratings on research accomplishments and secondarily on institutional service to the HSC. The specific criteria and rating scale used for evaluation of performance are described in Appendix A and see FAQ.

Professional Service Track

This track is for individuals whose responsibilities are primarily in professional service activities of the HSC, with few or no obligations in research or education. Promotion in the Professional Service Track is determined primarily by ratings on professional service accomplishments and secondarily on institutional service to the HSC. The specific criteria and rating scale used for evaluation of performance are described in Appendix A and see FAQ.

b. Ranks

Instructor: An individual who has attained the minimal degree appropriate to the discipline, but may still be in training (e.g. senior postdoctoral fellow, resident or fellow). These individuals have limited or no experience in one of the non-tenure tracks.

Assistant Professor: An individual with a doctoral or other appropriate terminal degree who has potential in one of the Non-tenure Tracks.

Associate Professor: An individual with a doctoral or other appropriate terminal degree who demonstrates excellence in one of the non-tenure tracks and who has gained a regional reputation [3] . He/she also carries significant institutional service responsibilities on behalf of the HSC.

Professor: An individual with a doctoral or other appropriate terminal degree who has made exceptional contributions in one of the non-tenure track programs of the HSC and who has gained a high level of national and/or international recognition. He/she also carries significant institutional service responsibilities on behalf of the HSC.

B. Non-Principal Faculty

Non-principal Faculty members are individuals who contribute to the HSC mission through part-time or voluntary participation in education and/or research, contributing less than 50% effort to the academic mission of the HSC. They make important contributions to the diverse mission of the HSC, but they do not meet the definition of Principal Faculty (see Section I.A.1 and 2.). The Adjunct Faculty title will be used generally for faculty with primary faculty appointments outside the HSC or TAMUS or for faculty within the HSC who have appointments less than 50%, or who are without academic appointments, i.e., in private practice. Individuals who hold a Principal Faculty title at another college or university would typically be appointed at the equivalent rank. The Joint Faculty title will be used for faculty with a primary faculty appointment in other HSC components or within other TAMUS institutions. The Clinical Faculty title will be used for faculty whose training and employment is primarily in patient care. Minor or occasional effort in one or two academic activities would justify appointment as Adjunct Faculty or Clinical Faculty. A single yearly promotions review will be scheduled by the HSC APT Review Committee as defined in Section IV.

Ranks

Adjunct/Joint/Clinical Instructor: Typically a junior staff member or resident/fellow with limited or no experience as an educator or as an independent scholar.

Adjunct/Joint/Clinical Assistant Professor: A non-clinician or clinician with potential for independence in, research, education, or professional service.

Adjunct/Joint/Clinical Associate Professor: A non-clinician or clinician who has demonstrated excellent performance in research, education or professional service.

Adjunct/Joint/Clinical Professor: A non-clinician or clinician who has demonstrated exceptional performance, with evidence of national or international recognition, in research, education or professional service.

II. Initial Faculty Appointments

Requests for initial faculty appointment can be made at any time and will be reviewed on an *ad hoc* basis. The department chair must designate, in the appointment letter, the primary academic area in which the faculty member must obtain the rating of excellent to be promoted to Associate Professor or the rating of exceptional to be promoted to Professor. This area may be changed later upon written mutual agreement of the Department Chair and faculty member, but not after the beginning of the sixth probationary year.

A. Instructor or Assistant Professor

Initial appointments at the level of Assistant Professor, in the tenure-track, can be made at the department level with approval of the Component Head and HSC President. Non-tenure faculty appointments, including Instructor, are approved by the Component Head and the Vice President for Academic Affairs.

B. Associate Professor or Professor

All initial appointments at the rank of Associate Professor or Professor, in the tenure track, require approval by the HSC President after completion of the review process specified in Section IV. This review will include evaluation by the component Appointment, Promotion and Tenure (APT) Review Committee (Section IV.D.), the Component Head (Section IV.E.), the HSC APT Review Committee (Section IV.F.), and the HSC Vice President for Academic Affairs (Section IV.G.). Non-tenure faculty appointments are approved by the Vice President for Academic Affairs, following the review outlined above.

For faculty appointments at the rank of Associate Professor or Professor, with or without tenure, the department must submit those documents required by the component APT Review Committee for their review (see Section IV.D.). There is no requirement that the Department Review Committee make a recommendation for appointments. Written external letters of evaluation (see Section IV.B.2. and Section IV.C.) must be obtained for tenure and non-tenure track candidates at the level of Associate Professor and Professor, unless there are extenuating circumstances that are agreed upon in writing by the HSC President [4].

If immediate granting of tenure is requested, the component APT Review Committee, upon completion of the review, will make a tenure recommendation to the Component Head (Section IV.E.), who will in turn make a recommendation to the HSC APT Review Committee who, in turn, will make a recommendation to the HSC Vice President for Academic Affairs (Section IV.F.). Traditional tenure and tenure in title only is granted by the Board of Regents on the recommendation of the HSC President. If the initial

department request is to hire a new faculty member in the tenure track, without tenure, then the appointment letter should indicate when the individual will be considered for tenure.

C. Adjunct/Joint/Clinical Non-principal Faculty

Appointment of Adjunct/Joint/Clinical Non-principal Faculty at the level of Assistant Professor can be made at the department level with approval of the Component Head.

Appointment of Adjunct/Joint/Clinical Non-principal Faculty at the level of Associate Professor or Professor requires approval of the Department Chair, component APT Review Committee, Component Head, HSC Vice President for Academic Affairs and the HSC President. Outside letters are not required for Adjunct/Joint/Clinical appointments. Switching from Non-principal Faculty to Principal Faculty requires a new appointment as outlined in Section II.

D. Materials Required for Review

The materials required for review of appointment of Associate Professors and Professors by the HSC APT Review Committee and Adjunct/Joint/Clinical Associate Professors and Professors by the HSC Vice President for Academic Affairs, at a minimum, will require a letter of recommendation from the Department Chair that includes the expected contribution of the faculty member to the HSC; a letter of recommendation from the component APT Review Committee; a letter of recommendation from the Component Head; external letters of evaluation (not required for Adjunct/Joint/Clinical appointments); and the candidate's Faculty Record. To expedite the review process all required documents must be submitted electronically to the HSC Vice President for Academic Affairs who will distribute all the materials for appointment of Associate Professors and Professors to the HSC APT Review Committee. The HSC APT Review Committee will send its recommendation to the HSC Vice President for Academic Affairs, who will make a recommendation to the HSC President.

III. Promotion and Tenure Review

Promotion will be based primarily on accomplishments in the academic areas and secondarily on institutional service. The specific criteria and rating scale used for evaluation of performance are described in Appendix A and the review process is found in Section IV. In addition, all tenure and non-tenure track faculty members are expected to provide appropriate institutional service (See Appendix A and see FAQ) to the components of the HSC. Institutional service is an extremely important contribution to the mission of the HSC and will be evaluated appropriately during promotion considerations; however, service alone will not be sufficient for promotion. Promotion will be based primarily on accomplishments in the academic areas and secondarily on institutional service. The specific criteria and rating scale used for evaluation of performance are described in Appendix A and the review process is found in Section IV. In addition, all tenure and non-tenure track faculty members are expected to provide appropriate institutional service (See Appendix A and see FAQ) to the components of the HSC. Institutional service is an extremely important contribution to the mission of the HSC and will be evaluated appropriately during promotion considerations; however, service alone will not be sufficient for promotion.

A. Principal Faculty Tenure Track

Individuals appointed as Assistant Professor in the traditional tenure or tenure in title only track must achieve tenure and promotion to Associate Professor simultaneously within a seven (7) year probationary period (see Section III.A.1.d.). Tenure is granted by the Board of Regents on the recommendation of the HSC President. The specific criteria and rating scale used for evaluation of performance are described in Appendix A and see FAQ.

Promotion from Associate Professor to Professor is independent of the length of participation on the HSC faculty and is based solely on documented achievement of appropriate goals related to education, research, or professional service. It is expected that faculty members will perform in two of the three academic areas and that all faculty members will participate in institutional service. Upon hiring, the Department Chair and the faculty member shall decide upon a primary academic area in which the faculty member must obtain the rating of excellent to be promoted to Associate Professor or the rating of exceptional to be promoted to Professor. This area may be changed later upon written mutual agreement of the department chair and faculty member, but not after the beginning of the sixth probationary year.

1. Assistant Professor to Associate Professor: Requires a rating of excellent in the primary academic area of: (1) research, (2) education or (3) professional service plus evidence of emerging national recognition; additionally requires a rating of at least acceptable in one other academic area. The candidate is rated in only two of the three academic areas. Also, institutional service contributions to the HSC must be rated as at least good.

a. Probationary Period in the Tenure Track

The starting date for the beginning of the probationary period will be September 1 of the calendar year in which the appointment was initially made, and each subsequent probationary year will be from September 1 to August 31. Extensions to the probationary period will be granted for the circumstances defined in Section III.A.1.e and Table 1. Failure to achieve tenure and promotion by the end of the probationary period will result in non-renewal of the appointment in the traditional tenure and tenure in title only track, but faculty members denied tenure may be appointed in a non-tenure track, at the discretion of the Department Chair and with the approval of the Component Head. During the probationary period, traditional tenure track Assistant Professors will be on annual employment contracts that will be evaluated yearly for renewal. In similar fashion, tenure in title only faculty members will be on annual academic appointments that will be evaluated yearly for renewal.

b. Credit for Service at another College or University

Assistant Professors who held this rank at another college or university prior to appointment in the HSC may negotiate to apply their prior service towards the HSC probationary period. The length of the probationary period to be served in the HSC must be specified in the initial appointment document, and will never

exceed seven years. If the length of the HSC probationary period is reduced based on prior academic service, then, for tenure review consideration, the candidate's achievements during this prior credit period will be included equally with the achievements accruing at the HSC.

c. Early Tenure Review

Faculty members on the traditional tenure or tenure in title only track may request review prior to the end of their probationary period. The faculty member who requests early review will be treated identically to other candidates. If the early review is unsuccessful, the candidate is still able to be reviewed during the sixth probationary year and complete the probationary period.

d. Tenure Review Date

Faculty members will be scheduled for tenure review no later than year six (6) of their probationary period. The exact dates for each level of review will be specified by the component APT Review Committee; however, all reviews must be scheduled to allow time for action on the recommendation by the HSC APT Review Committee, the HSC Vice President for Academic Affairs, and the HSC President prior to the Board of Regents meeting at which System tenure decisions are approved. See Section IV.I regarding notification process for tenure and promotion decisions.

e. Stopping the Tenure Clock

Under some circumstances the probationary period (tenure clock) may be extended upon petition by the faculty member, positive recommendation by the Department Chair and Component Head, and approval by the HSC Vice President for Academic Affairs.

An extension of the tenure clock may be requested As per System Policy 12.01. Circumstances that may justify approval of such an extension include, but are not limited to, pregnancy and pregnancy-related complications; serious illness or injury; responsibility for the primary care of an infant or small child; responsibility for the primary care of a close relative who is disabled, elderly, or seriously ill; or other serious disruptions of the probationary period for unexpected reasons beyond the faculty member's control.

The probationary period will normally be extended for one year, but an extended period may be requested for compelling circumstances. Except for "Assuming Administrative Duty" and "Active Military Duty", the combined total of time off the tenure clock cannot exceed two years.

In the first five (5) years of service "Stopping the Tenure Clock", with proper documentation, may be requested at any time, however, "Stopping the Tenure Clock" will not be permitted after the faculty member begins his or her mandatory tenure review year, i.e., September 1 of his or her sixth (6th) year of service.

Table 1 Common Conditions that Affect Time Off the Tenure Track

Condition	Allowable Time Off Tenure Clock***
<p style="text-align: center;">Childbearing</p> <p>Leave granted, with or without pay, for period prior to, during and after childbirth.</p>	1 year*
<p style="text-align: center;">Care of a Child or Spouse</p> <p>Leave granted without pay for purpose of caring for a child or spouse.</p>	1 year*
<p style="text-align: center;">Active Service Modified Duties</p> <p>Reduction in normal duties due to substantial responsibility for family care.</p>	1 year*, if reduction in duties exceed six months
<p style="text-align: center;">Sick Leave</p>	1 year, if leave equals or exceeds six months
<p style="text-align: center;">Graduate Education</p> <p>Reduction in normal duties due to pursuit of graduate degree.</p>	<p style="text-align: center;">1 year, if reduction in duties exceeds six months;</p> <p style="text-align: center;">2 years, if reduction in duties exceeds 18 months</p>
<p style="text-align: center;">Administrative Duties**</p> <p>Appointment as full-time administrator.</p>	Tenure clock stops while individual holds full-time appointment.
<p style="text-align: center;">Active Military Duty</p>	Tenure clock stops while individual is recalled to active service.

* Any combination of above for purposes of childbearing/child rearing may not exceed a total of one year off the tenure clock per birth or event.

** Assistant Professors in the traditional tenure rack would be considered for full-time administrative duties only under exceptional circumstances.

*** Except for Assuming Administrative Duty and Active Military Duty, the combined total of time off the tenure clock cannot exceed two years.

2. Associate Professor to Professor: Requires a rating of exceptional in the primary academic area of: (1) research, (2) education, or (3) professional service plus evidence of a high level of national/international recognition; additionally requires a rating of at least good in the secondary academic area. The candidate is rated in only two of the three academic areas. Also, institutional service contributions to the HSC must be rated as at least good. Requests for consideration for promotion may be initiated by the faculty member and submitted in writing to the Department Chair. Faculty initiated promotion requests will go forward with or without support of the Department Chair.

B. Principal Faculty Non-Tenure Track

The value of an individual's overall contribution is assessed by the Department Chair who will submit at the appropriate time a letter of recommendation to the Component Head recommending renewal or non-renewal of the appointment. If the Department Chair recommends renewal, the letter will specify the activities that merit re-appointment. The justification for an appointment in this track is based on the quantity, quality, and importance of the individual's academic effort. After the initial appointment, subsequent re-appointment requires approval of only the Component Head. Initial and subsequent appointments will typically be for one year for the first three years of appointment, as determined by the Component Head. After the first three years, some appointments may extend for up to five years, but no longer, as determined by the Component Head. Appointment renewals and promotions in the non-tenure tracks are dependent primarily upon achievements in the area, as defined in the non-tenure track definitions for that track, and secondarily on institutional service. Length of service to the HSC is not a factor in promotion decisions. The faculty member may initiate the request for consideration for promotion in writing to the Department Chair. Faculty initiated promotion requests will go forward with or without the support of the Department Chair.

Instructor to Assistant Professor: The Department Chair determines the faculty member possesses potential for independence in and specifies one of the three academic areas: (1) research, (2) education or (3) professional service. If the Instructor is switching to the tenure track, then the component simply handles this as an internal appointment of an Assistant Professor (see Section II.B.).

Assistant Professor to Associate Professor: Requires a rating of excellent in the primary academic area of: (1) research, (2) education or (3) professional service with evidence of a regional reputation. Institutional service must be rated as at least good.

Associate Professor to Professor: Requires a rating of exceptional in the primary academic area of: (1) research, (2) education, or (3) professional service with a high level of national and/or international recognition. Institutional service must be rated as at least good.

C. Non-Principal Faculty

The same process as outlined above (Section III.B.) for Principal Faculty non-tenure is followed for Non-Principal Faculty except the Component Head recommendation goes to the HSC Vice President of Academic Affairs. Additionally, appointments of Adjunct/Joint/Clinical Non-Principal Faculty may be less than one year.

Promotion of Adjunct/Joint/Clinical faculty is determined by the quality of performance in the area of academic contribution, i.e., education, research or professional service, and institutional service to the HSC. The specific criteria and rating scale used for evaluation of performance in these areas are defined in Appendix A. Promotion to the various ranks requires the ratings listed below:

Adjunct/Joint/Clinical Instructor to Adjunct/Joint/Clinical Assistant Professor: Requires a rating of good in the contribution area.

Adjunct/Joint/Clinical Assistant Professor to Adjunct/Joint/Clinical Associate Professor: Requires a rating of excellent in the contribution area.

Adjunct/Joint/Clinical Associate Professor to Adjunct/Joint/Clinical Professor: Requires a rating of exceptional in the contribution area with evidence of national or international recognition in the contribution area.

D. Track Switching

1. Tenure to Non-tenure Track

Faculty members in the traditional tenure or tenure in title only track may elect to switch to one of the non-tenure tracks with the written approval of the Department Chair and Component Head. The initial appointment in the non-tenure track will be one year unless the faculty member is already tenured. In the latter case, at the discretion of the Department Chair and with approval of the Component Head the contract can be extended up to three years. There is no guarantee of continued employment in the non-tenure track beyond that specified by the current appointment. Should a tenure track faculty member transfer to a non-tenure track position, the rank of the non-tenure track position will be determined by the criteria in Section III. B. (and see FAQ) and not by the current rank of the tenure track faculty member. The process stated in Section IV must be followed. Once the switch is made to the non-tenure track the faculty member cannot return to the tenure track.

2. Non-tenure Track to Tenure Track

With the agreement of the Department Chair and Component Head, a non-tenured faculty member can transfer to the traditional tenure (HSC-employed) or the tenure in title only (employed by formal HSC affiliate) track. Should a non-tenure track faculty member transfer to a tenure track, the individual's rank will be determined by the criteria in Section III and Appendix A and not by the current rank of the non-tenure track faculty member. The review process stated in Section IV must be followed.

3. Non-tenure Track to Non-tenure Track

At the end of each appointment period, non-tenure track faculty members have the option to negotiate with their Department Chair for a switch from one non-tenure track category (Research, Educator or Professional Service) to another non-tenure track. When track switching occurs, faculty members will normally retain their current rank in the new track.

IV. Promotion and Tenure Review Pathway

Recommendations for appointment, promotion and tenure decisions originate with departments and are reviewed at several levels before reaching the HSC President. The HSC President will make the final decision for appointments and promotions and will make tenure recommendations to the TAMUS Board of Regents; tenure is granted only by the TAMUS Board of Regents.

A. General

For all promotion and/or tenure considerations from Instructor to Assistant Professor and from Assistant to Associate Professor or Associate Professor to Professor, faculty members must submit an Appendix B - Faculty Record document with course evaluations to their department chair for review. Assistant Professors in the traditional tenure or tenure in title only track must submit this document no later than the sixth (6th) year of their probationary period as described in Section III. Time served as an Instructor does not count against a faculty member who is later appointed as an Assistant Professor in the tenure track. There is no minimum mandatory time period for promotion between ranks. The faculty member may initiate promotion and/or tenure reviews, in writing. Faculty-initiated tenure and/or promotion requests will go forward with or without the support of the Department Chair.

B. Department/Associate Dean for Academic Affairs Review

1. Midterm Review

After three years in rank, all Assistant Professors in the traditional tenure or tenure in title only track must receive a formal review at the department level and by the component Associate Dean for Academic Affairs. This review is to help identify the faculty member's strengths and weaknesses relevant to the tenure and promotion process. The format of the review is determined by the individual departments, but should involve senior tenured faculty (Associate Professors and Professors) and not solely the Department Chair. Tenured HSC faculty from outside the department may be included in the review process if necessary or appropriate for evaluation of the

candidate. The component Associate Dean for Academic Affairs will send the faculty member a written evaluation with recommendations.

2. Promotion/Tenure Review

Each department will conduct a review of the faculty member(s) being considered for tenure and/or promotion (see section II for appointments). The format of the review is determined by the individual departments, but should involve senior faculty (Associate Professors and Professors) in the same track as the candidate and appointed by the Department Chair. Only Professors should review candidates for Professor. HSC faculty in the same track as the candidate from outside the department may be included in the review process if necessary or appropriate for evaluation of the candidate.

The candidate should provide the department with up to ten representative publications covering the last five years. The publications provided should be those that are felt to best exemplify the scholarship of the candidate.

This review will also include solicitation of external written letters of evaluation from faculty not associated with the HSC (see Section IV.C.).

Review of Adjunct/Joint/Clinical Non-principal Faculty candidates for promotion to Associate Professor or Professor requires a Department APT Review Committee recommendation to the Department Chair, Department Chair recommendation to the component APT Review Committee, their recommendation to the Associate Dean for Academic Affairs who then recommends to the Component Head who will make a recommendation to the HSC Vice President of Academic Affairs. Outside letters are not required for Adjunct/Joint/Clinical promotions.

C. External Reviewers

A minimum of four external letters of evaluation must be obtained for traditional tenure and tenure in title only tracks and non-tenure track faculty; outside letters are not required for Adjunct/Joint/Clinical faculty. The candidate will submit a list of three to six potential external reviewers. The Department Chair will develop an additional list of three to six external reviewers not specified by the candidate. Outside reviewers should be chosen carefully to provide a fair and impartial evaluation of the candidate's achievements in comparison to faculty of a similar rank at comparable universities or health science centers. It is recommended that reviewers not be limited to personal acquaintances. The suitability of the external evaluators will be closely reviewed at the HSC level. The two separate lists of potential reviewers will be submitted to the component Associate Dean for Academic Affairs, who will solicit letters from the individual reviewers, with equal representation from both the candidate's list of reviewers and the list prepared by the Department Chair. Sufficient requests should be sent to receive the required four external evaluation letters. A Faculty Record of the candidate with course evaluations and promotion and/or tenure criteria will be sent to each reviewer who will be asked to provide a frank and critical assessment of the candidate based on both personal knowledge and on the information contained in the Faculty Record. Each outside reviewer will be asked to respond to the following: (1) Personal knowledge of the candidate; (2) the candidate's performance in the specified academic areas; and (3) performance and quality of the candidate in institutional

service. All letters received by the component Associate Dean for Academic Affairs will be returned to the department for consideration as part of the review of the candidate. After this internal review, the department will submit the Department APT Review Committee recommendation to the Department Chair. The Department Chair will submit the Department APT Review Committee recommendation, the recommendation of the Chair, Faculty Record of the candidate, and all external letters of evaluation to the Associate Dean for Academic Affairs who will submit the dossier to the component APT Review Committee.

D. Component APT Review Committee

Each of the components of the HSC will have an APT Review Committee. In addition to traditional tenure and tenure in title only track appointments and promotions, the committee will render decisions on non-tenure track and Adjunct/Joint/Clinical appointments and promotions. Due to the diverse and distinct nature of the components, a single format for the committee is not feasible. Each component is responsible for developing the structure and operation of its own APT Review Committee that ensures fair and equitable faculty representation and participation; however, only tenured faculty members may vote on tenure decisions. The policies and procedures of each component committee are listed in Appendix C. The committee will review the materials forwarded from the departments and will vote on the recommendation for appointment, promotion and/or tenure. The chair of the committee will tally the votes and submit the numerical vote, a summary, and a specific recommendation for appointment, promotion and/or tenure to the Component Head.

E. Component Head

The Component Head will make a recommendation after determining procedural correctness and ensuring uniform application of track criteria across departments.

For traditional tenure and tenure in title only track and non-tenure track faculty the Associate Dean for Academic Affairs will submit to the HSC Vice President for Academic Affairs, at a minimum, written letters of recommendation from the Department APT Review Committee, the Department Chair, the component APT Review Committee, the Component Head and external letters of evaluation; the candidate's Faculty Record in the HSC format (see Appendix B); and the required transmittal form and formatted letter (see Appendix D). Negative component decisions, except in the case of mandatory tenure reviews, are not forwarded to the HSC Vice President of Academic Affairs.

For promotion of Adjunct/Joint/Clinical Non-principal Faculty the Associate Dean for Academic Affairs will submit to the HSC Vice President for Academic Affairs), written letters of recommendation from the Department APT Review Committee, the Department Chair, the component APT Review Committee, the Component Head; the candidate's Faculty Record in the HSC format (see Appendix B); and the required transmittal form and formatted letter (see Appendix D). Supporting external letters are not required. Negative component decisions are not forwarded to the HSC Vice President for Academic Affairs.

The HSC Vice President for Academic Affairs will distribute the above materials to the HSC APT Review Committee.

F. HSC APT Review Committee

To ensure uniform application of criteria across the HSC components, the HSC will have only one APT Review Committee. The committee will review the recommendations from the Component Head concerning appointment, promotion and tenure in the tenure track or appointments and promotions in the non-tenure track. The committee will be comprised of two regular members and one alternate member per component [5]. Membership will be restricted to Professors. If the requisite number of Professors is not available in a particular component, membership will be extended to Associate Professors. If a component has significant numbers of Professors in the non-tenure track then one of their elected members must be a Professor in the non-tenure track. This member may vote on promotion decisions, but not on tenure decisions. The chair of each component APT Review Committee will serve as an *ex officio* non-voting advisory member of the committee. Alternate members will attend and participate in all meetings, but will not vote unless replacing a regular member. Each HSC component will elect two members and one alternate member from among the Principal Faculty of that component. Specific procedures for the election of members and alternates to the committee will be determined by the individual HSC components. The Committee members, including alternates, will be elected for three-year terms and may be re-elected indefinitely. Terms will be staggered so that only one of the three representatives from each component will be elected each year. Each year the committee will elect one of its members to serve as chair. After review of the appointment, promotion and/or tenure materials submitted for each candidate, along with the recommendation from the Component Head, the HSC APT Review Committee will vote on the Component Head recommendation. There must be a quorum present and it requires a simple majority vote to approve the recommendation for each candidate. Only two votes per component will be allowed. If a member is absent or wishes to abstain from voting on a particular candidate, the alternate member from that component will replace the member for voting purposes. The chair of the committee will forward the appointment, promotion and/or tenure documents, the vote tally, and a brief summary to the HSC Vice President for Academic Affairs.

G. HSC Vice President for Academic Affairs

The HSC Vice President for Academic Affairs will review the recommendations of the HSC APT Review Committee and submit a recommendation to the HSC President. The recommendation will be based solely on the material reviewed by the HSC APT Review Committee. If the HSC Vice President for Academic Affairs does not concur with the recommendation of the HSC APT Review Committee, the matter will be discussed with the committee prior to making a recommendation to the HSC President.

H. HSC President

The HSC President will make the final decision on promotions. The HSC President will also make the final decision on recommendations for tenure to the Board of Regents.

I. Notification Process for traditional tenure and tenure in title only and/or Promotion to Associate Professor and Professor.

1. A faculty member shall be advised in writing of the recommendation for or against tenure and/or promotion by the HSC Vice President for Academic Affairs after recommendation by the Component Head and after the HSC President's decision.
2. The official decision by the Board of Regents regarding the granting of tenure to a faculty member will be conveyed in writing to the faculty member by the HSC Vice President for Academic Affairs, as soon as possible, after the Board of Regents has officially acted on the HSC tenure recommendation.
3. After notification of a negative decision, the faculty member may make a written request for a statement of reasons for the negative decision. This written statement will be provided by the chief academic officer of the component and/or HSC.

J. Appeal

Faculty members will have the right to appeal tenure recommendation decisions as specified in HSC Policy 12.01.99.Z1.03 Academic Freedom, Ethics, Responsibility, Rights and Tenure.

K. Giving Up Tenure

Tenured faculty members who voluntarily drop to less than the mandatory 50% employment for the tenure track give up tenure. At the discretion of the Component Head, if at a later date the faculty member wants to increase his/her employment to 50% or greater then he/she must reapply for appointment-tenure as outlined in Section II Initial Faculty Appointments. If tenure is denied, the faculty member may be appointed to the non-tenure track, with the approval of the Component Head. Tenured faculty members who officially retire give up tenure. With the approval of the Component Head and HSC Vice President for Academic Affairs, a formally retired faculty member seeking greater than 50% effort may be reinstated only in a non-tenure track and at the same rank as when they were tenured.

V. Post-tenure Review

All Principal Faculty members will undergo Post-tenure Review as specified in HSC Internal Policies: Post-tenure Review Rule 12.06.99.Z1 and Policy 12.06.99.Z1.01.

Footnotes

1. In general, the HSC mission focuses on 1) education, research/scholarship, and service. Representative activities consistent with the mission of the HSC are presented in FAQ no. **16 What are the expectations of faculty in the three academic areas of performance for successful promotion and tenure? Examples?**
2. Component Dean or Component Director
3. Regional reputation in a clinical specialty area and/or basic science field of study or endeavor.
4. At the discretion of the HSC President, phone calls may be used in lieu of letters; however, the calls must conform to the requirements of the HSC APT Review Committee. In

extraordinary circumstances, the HSC President may decide that neither written letters of recommendation or phone calls are appropriate.

5. At the present time all the faculty members in the School of Graduate Studies have primary academic appointments in other HSC components. If at a future time the School of Graduate Studies has a significant number of faculty with primary appointment in that component then an appropriate number of faculty members from the School of Graduate Studies will be added to the HSC APT Review Committee.

Appendices

Appendix A: Promotion Criteria

Appendix B: Faculty Record (Modified Curriculum Vitae)

Appendix C: Letter Format from Component to HSC APT Review Committee

Appendix D: Transmittal Form for Recommending Promotion and Tenure

OFFICE OF RESPONSIBILITY

Vice President for Academic Affairs