



## Institutional Handbook of Operating Procedures (IHOP)

<b>Section:</b>	<b>12– Academic – Education and Student Related</b>		<b>First Release Date:</b> <b>03/10/2003</b>	
<b>Policy Name:</b>	12.10 Faculty Appointment, Promotion and Tenure			
<b>Revision Author:</b>	Vice President for Research		<b>Reviewed Date:</b> <b>09/20/2010</b>	<input type="checkbox"/> Without Changes <input checked="" type="checkbox"/> With Changes
<b>Original Author:</b>				
<b>Approving Body:</b>	<b>Dates of Approval:</b>			
Executive Cabinet	02/14/2012			
Executive Vice President, Chief of Staff	10/21/2011		<b>Next Review Date:</b> <b>02/14/2014</b>	
Office of Legal Affairs	10/21/2011			
Vice President for Research	10/21/2011			

<b>Scope:</b>	This policy applies to all Faculty.
<b>Purpose:</b>	To define faculty appointment and promotion processes and titles, as well as eligibility criteria for initial award and renewal of term tenure and the process for recommendation, review, award, and renewal of term tenure.

### **DEFINITION(S):**

*Academic Year:* The period from September 1 through the following August 31.

*Tenure:* A status of continuing appointment as a member of the faculty at an institution of The University of Texas System.<sup>1</sup>

*Tenure Track:* Faculty members usually complete a probationary period (tenure track) that is no longer than a total of seven years faculty service at UTHSCT prior to initial award of term tenure. It is possible to be awarded term tenure without ever being on the tenure track. Extensions of the tenure track period may be granted in limited situations.

*Term Tenure:* A renewable seven-year term appointment awarded and renewed after faculty committee review and approval by the President and The University of Texas System (UT System).<sup>2</sup> The term tenure appointment is held only at the component institution and is not transferable. Tenure and compensation are separate matters. Term appointment denotes a status of continuing employment as provided by **Rules and Regulations of The UT System Board of Regents** and does not guarantee any certain level of compensation.

### **POLICY:**

#### **A. General Provisions**

As a state-supported institution, UTHSCT has a multifaceted primary mission of serving East Texas and beyond through excellent patient care and community health, comprehensive education and innovative research. A faculty committed to excellence in the fulfillment of UTHSCT's missions of patient care, disease prevention, research, and teaching is the most important resource at UTHSCT.

The Board of Regents, upon recommendation of the President, and The University of Texas System Administration, shall select, employ, and discharge all professional personnel as provided by the Rules of

<sup>1</sup> Regents' Rule 31007, Sec. 1

<sup>2</sup> Regents' Rule 31007, Sec. 2



the Board of Regents of The University of Texas System, hereinafter referred to as the Regents' Rules and Regulations.

General duties, privileges, benefits, and remunerations shall be subject to the Regents' Rules and Regulations and as otherwise determined by the Board of Regents upon recommendation of the Vice President for Research, the Vice President for Clinical Affairs, the President and UT System Administration. The President, through the Vice President for Research or the Vice President for Clinical Affairs, shall have immediate control of and responsibility for the specific duties and assignments of all faculty and other academic appointments in the employ of UTHSCT. All actions related to appointments, promotions, and tenure will conform to UTHSCT's personnel policies, including affirmative action plans and procedures.

## **B. Categories of Professional Appointment**

### **1. Academic Ranks**

Academic appointments may be awarded to an individual who is actively pursuing independent scholarly research for the purpose of publishing his or her results in the biomedical sciences and/or is involved in teaching. Appointment to the academic ranks and titles requires the department chairman's recommendation, evaluation and nomination by review committees as appropriate, and approval of the Vice President for Research or the Vice President for Clinical Affairs and the President. (See the section on qualifications for specific criteria for academic appointments.)

#### *a. Examples of Academic Titles*

Instructor in (Department); Assistant Professor of (Department); Associate Professor of (Department); Professor of (Department)

#### *b. Tenured Ranks and Titles*

Tenure at UTHSCT is term tenure and denotes award of a renewable seven-year term appointment (see the section on term appointments for specific criteria). Term tenure may be awarded only to those individuals who have a faculty rank of associate professor or professor. If an individual is appointed to or promoted with tenure with an effective date other than September 1, the first year of tenure is calculated as follows:

September 1 through November 30: The first year of the seven-year term tenure appointment begins on September 1 of the current fiscal year.

December 1 through August 31: The first year of the seven-year term tenure appointment begins on September 1 of the following fiscal year.

#### *c. Tenure Track Ranks and Titles*

Tenure track denotes a probationary period that allows a candidate to establish her/himself at UTHSCT and to show evidence of continual progress in her/his specific field of expertise. Tenure track appointments are possible from the rank of assistant professor to professor<sup>3</sup> (for specific criteria see the section on qualifications). The maximum probationary period permissible is seven years, although a faculty member may be recommended to the tenure track for another probationary

---

<sup>3</sup> BOR 31001 Sec. 2.1



period after one year off the tenure track. If an individual is appointed to or promoted with a tenure track position with an effective date other than September 1, the probationary period begins the next September 1.

*d. Non-Tenure Track Ranks and Titles*

Non-tenure track research appointments are possible from the rank of instructor to professor. Service in non-tenure track ranks shall not be credited as faculty service toward satisfaction of a required probationary period for the award of a term tenure appointment. For persons appointed to non-tenure track positions, all appointment letters, personnel forms, budgets, and other official documents shall state in parentheses following the name and title of the individual "non-tenured research appointment."

## **2. Titles for Research Faculty**

*Research faculty titles on the tenure and non-tenure track:* instructor, assistant professor, associate professor and professor. Research titles include the investigative discipline in which the faculty member is engaged. Example: Professor of Biochemistry or Immunology.

These titles may be used to designate regular or part-time service on the faculty while involved in a research program.

Appointments to the faculty with a research title shall be for a stated period of time not to exceed three academic years if the faculty member is not tenured. If it is to the benefit of UTHSCT, reappointment may be offered to a research faculty member.

## **3. Titles for Clinical Faculty**

Titles for clinical faculty include: clinical assistant professor, clinical associate professor and clinical professor. These titles may be used to designate regular or part-time service on the clinical faculty.

Appointments to the clinical faculty may be with or without compensation and shall be for a stated period of time not to exceed three academic years if the faculty member is not tenured. Such appointments shall terminate upon expiration of the stated period of appointment. If it is to the benefit of the Institution, reappointment may be offered to a clinical faculty member.

## **4. Professor Emeritus and Associate Professor Emeritus Titles for Clinical or Research Faculty Members**

Appointment of a fully retired faculty member to the rank of emeritus may be made in exceptional instances, in accordance with the Regents' Rules and Regulations. Emeritus titles may be recommended by the President but may be bestowed only by the Board of Regents.

The Department Chairman, with the concurrence of the Division Head where applicable, may initiate a formal request to appoint an individual to emeritus status. This recommendation is submitted through the



Vice President for Research or Vice President for Clinical Affairs to the President. On behalf of the President, the Vice President for Research or Vice President for Clinical Affairs prepares a recommendation for the appointment to System. Once UT System approval has been obtained, the Vice President for Research or Vice President for Clinical Affairs prepares the appropriate correspondence appointing the retired faculty member to emeritus status.

## **5. Titles and Ranks in Which Term Tenure Appointments Cannot Be Awarded**

In addition to the faculty ranks of instructor and assistant professor, term tenure appointments cannot be awarded in the following appointments:

a. *Visiting faculty titles:* visiting assistant professor, visiting associate professor, visiting professor, and visiting scientist.

These titles are used only for the temporary appointment of persons who are either visiting from other institutions where they hold similar ranks or are appointed by UTHSCT on a temporary basis. Such appointments are subject to annual review and are limited to two years.

b. *Adjunct research faculty titles:* adjunct assistant professor, adjunct associate professor, and adjunct professor.

These titles may be used when a qualified person from business, industry, government, private practice, or another institution of higher education is teaching a course or conducting research at UTHSCT. Except in special circumstances, this prefix should be used to designate courtesy appointments to the faculty.

Appointments to the faculty with an adjunct title are without compensation for a stated period of time not to exceed one academic year. Such appointments terminate upon expiration of the stated period of appointment without the notification of nonrenewal required by other types of appointments. If it is to the benefit of UTHSCT, reappointment may be offered to an adjunct faculty member. Individuals appointed in this capacity who hold a full-time appointment at another UT component will not have the modifier "adjunct" in their title.

## **C. Periods of Appointment, Reappointment, and Term Appointment**

Except in those cases in which a seven-year term appointment is awarded, all appointments shall be for up to three years.

### **1. Annual Reappointment**

Faculty may be reappointed annually by system administration and the Board of Regents upon recommendation to the President from the Department Chairman and the Vice President for Research or



Vice President for Clinical Affairs. UTHSCT shall offer such reappointment by memorandum of appointment for the next academic year not later than 30 days before the first day of the academic year.<sup>4</sup>

## **2. Term Tenure Appointment**

The Regents' Rules and Regulations authorize UTHSCT to award a seven-year term tenure appointment through the Board of Regents; it denotes a status of renewable appointment as a member of the faculty for seven years (see section on Term Appointments). A term appointment is held only at the component Institution and is not transferable.

Nontenurable faculty appointments shall not be eligible for seven-year term appointment status.

A person appointed to a faculty position with the title of instructor, assistant professor, associate professor, or professor at a component Institution of The UT System may not, during the period of such appointment, hold a tenured or term tenure appointment on the faculty of another educational institution outside the System.<sup>5</sup>

Appointments within The UT System to the above-specified titles shall be conditional upon the appointee having resigned any tenured or term tenured appointment position that the appointee may then hold on the faculty of an educational institution outside the System. Such resignation must be completed and effective prior to the effective date of the appointment at The UT System component; otherwise, such appointment shall be void and of no effect.

The acceptance of a tenured or term tenure appointment position on the faculty of an educational institution outside The UT System shall be considered as a resignation from any faculty position with the title of instructor, assistant professor, associate professor, or professor that such appointee may hold at The UT System component.

## **3. Evaluation of Faculty and Other Academic Appointments**

Members of the faculty or those with other research academic appointments (Research Investigator) are responsible for submitting updated curriculum vitae to the Department Chairs, who will then submit these materials and their annual evaluation to the Office of the Vice President for Research or the Vice President for Clinical Affairs by January 31 of each year. Each Department Chairman is required to submit to the Vice President for Research or Vice President for Clinical Affairs an annual evaluation of education, research, patient care, and administrative activities for each academic appointment or faculty member in that section, service, or department.

The chairman may delegate responsibility for the evaluation to the identified supervisor of the faculty member. This annual evaluation shall include an evaluation of the accomplishments toward the faculty

---

<sup>4</sup> Texas Education Code 51.943

<sup>5</sup> Regents Rule 31007, Sec. 7.



member's academic career goals. After review by the Vice President for Research or Vice President for Clinical Affairs, evaluations are forwarded to the President.

**D. Documentation of Qualifications for Appointment and Promotion:**

Documentation for appointment and promotion are described in the following tables:

1) Table 1. DOCUMENTATION FOR INITIAL ACADEMIC APPOINTMENT REVIEWS

2) Table 2. DOCUMENTATION FOR PROMOTION OR TERM TENURE REVIEWS

(See next page.)



**Table 1. DOCUMENTATION FOR INITIAL ACADEMIC APPOINTMENT REVIEWS\***

<b>Academic Rank</b>	<b>Dept. Chair's Memo<sup>1</sup></b>	<b>C.V.<sup>2</sup></b>	<b>Minimum # Letters<sup>3</sup> in Packet (Referee Profile Req)</b>	<b>Synopsis</b>	<b>Two Sets of Five Reprints<sup>4</sup></b>
<b>Instructor<sup>5,6</sup></b>	required	required	3 (all may be internal) <sup>7</sup>	required	optional
<b>Assistant Professor<sup>6</sup></b>	required	required	3 (all may be internal)	required	required
<b>Associate Professor<sup>6</sup></b>	required	required	4 (3 internal and 1 external)	required	required
<b>Professor<sup>6</sup></b>	required	required	4 (2 internal and 2 external)	required	required
<b>Assistant Professor *Tenure Track</b>	required	required	3 (1 internal and 2 external)	required	required
<b>Associate Professor Tenure Track, or with award of term tenure</b>	required	required	4 (1 internal and 3 external)	required	required
<b>Professor Tenure Track, or with award of term tenure</b>	required	required	4 (1 internal and 3 external)	required	required
<b>Visiting Scientist Assistant Professor, Associate Professor, Professor</b>	required	required	3 (all may be internal)	recommended	required

**ANNUAL EVALUATIONS PROTOCOL:** Materials to be submitted by each faculty member to the appropriate Department Chair for annual faculty evaluations include submission of an updated curriculum vitae, a synopsis of accomplishments achieved during the previous annual evaluation period and a set of all reprints or preprints of accepted manuscripts.

<sup>1</sup> For joint appointment: A memo from chair of department in which faculty will hold a joint appointment should be included.

<sup>2</sup> Curriculum vitae must be less than three months old and in an institutional format that includes the following sections: Name, academic appointments and contact information, education and postgraduate training, committee service, certifications, military service, awards and honors, editorial appointments, society memberships (optional), review activities, trainees and educational achievements, patents and intellectual property descriptions, peer-reviewed publications and book chapters, abstracts and complete synopsis of current funding, including role in the project, project title, funding source, duration of award and total amount of award.

<sup>3</sup> Referees must be at the appointment academic rank or higher and have had knowledge of the candidate's professional achievements within the past two years.

Important: Letters are solicited and addressed to the Department Chair.

<sup>4</sup> For instructor and visiting faculty one set of five reprints.

<sup>5</sup> Vice President for Research or Vice President for Clinical Affairs review and approval.

<sup>6</sup> Non-tenure track.



<sup>7</sup> Referees internal to candidates' current institution.

**Table 2. DOCUMENTATION FOR PROMOTION OR TERM TENURE REVIEWS**

Academic Rank	Dept. Chair's Memo <sup>1</sup>	C.V. <sup>2</sup>	# Names of Referees <sup>3</sup> (Referee Profile Req)	Minimum # Letters <sup>3</sup> in Packet (Referee Profile Req)	Synopsis	Two Sets of Five Reprints <sup>4</sup>
Assistant Professor NTRA <sup>4</sup>	required	required	6	3 (all may be UTHSCT)	required	required
Associate Professor NTRA	required	required	6	4 (3 UTHSCT, 1 external)	required	required
Professor NTRA	required	required	6	4 (2 UTHSCT, 2 external)	required	required
<b>Assistant Professor</b> <ul style="list-style-type: none"> <li>tenure track, or</li> <li>switch to tenure track</li> </ul>	required	required	6	3 (1 UTHSCT, 2 external)	required	required
<b>Associate Professor</b> <ul style="list-style-type: none"> <li>tenure track, or</li> <li>switch to tenure track, or</li> <li>with initial award of term tenure, or</li> <li>with first renewal of term tenure</li> </ul>	required	required	6	4 (1 UTHSCT, 3 external)	required	required
<b>Professor</b> <ul style="list-style-type: none"> <li>tenure track, or</li> <li>switch to tenure track, or</li> <li>with initial award of term tenure, or</li> <li>with first renewal of term tenure</li> </ul>	required	required	6	4 (1 UTHSCT, 3 external)	required	required
<b>Associate Professor and Professor</b> Second and subsequent renewals of term tenure	required	required	0 (unless requested by PTC)	0 (unless requested by PTC)	required	required

<sup>1</sup>For joint appointment: Memorandum from Chair of Department in which faculty member holds a joint appointment should be included with promotions in rank actions.

<sup>2</sup>Curriculum Vitae must be less than 3 months old and in an institutional format that includes the following sections: Name, academic appointments and contact information, education and postgraduate training, committee service, certifications, military service, awards and honors, editorial appointments, society memberships (optional), review activities, trainees and educational achievements, patents and intellectual property descriptions, peer-reviewed publications and book chapters, abstracts and complete synopsis of current funding, including role in the project, project title, funding source, duration of award and total amount of award.



<sup>3</sup> Referees must be at the candidate's promotion academic rank or higher. The Appointment, Promotion and Tenure (APT) committee may at its discretion request traditional internal or external letters of recommendation.

Important: Letters are solicited by the appropriate department chair and addressed to that chair.

<sup>4</sup> NTRA: non-tenure track research.

## **E. Criteria for Appointment, Promotion, and Award of Tenure**

1. The criteria for appointment, promotion, and award of tenure, otherwise referred to as term tenure appointments above, are based on contributions to the mission areas of UTHSCT, as indicated by extramural funding, publications, teaching, extramural recognition, institutional service, and clinical excellence.

### *a. Extramural support*

The ability to obtain extramural support for research, is a measure of a candidate's independence. Categories of support include: (1) peer-reviewed grants; (2) peer-reviewed contracts; (3) industrial grants/contracts; and (4) foundation grants/endowments.

Clearly, peer-reviewed support is an indicator of an individual's independence as well as recognition of his/her work by peers. A consistent record of successful peer-reviewed extramural funding is viewed as an attribute of innovation and creative research scholarship.

Support from industry, foundations, and endowments will also be considered evidence of scholarly achievement.

It is the policy of UTHSCT that all faculty members at the level of Assistant Professor and above, who spend 75 percent or more of their time on basic, translational, or population-based research, obtain at least 30 percent of their annual base salary plus fringe and full federal negotiated rate indirects from extramural grants and contracts. Chairs and Professorships are not considered extramural support and may not be included as part of the 30 percent contribution. This, however, does not fulfill the requirement of 30 percent of annual base salary plus fringe from extramural grants and contracts. Faculty members are expected to meet this requirement; if unsuccessful, endowment or other unrestricted funds directly under control of the faculty member or his/her department chair should be used to meet the salary contribution.

### *b. Publications*

The list of publications in a candidate's curriculum vitae includes papers published in peer-reviewed journals, invited chapters and books, editorials, books, and teaching aids; it may also include clinical protocols and electronically-based scholarly work authored by the candidate. Each of these illustrates a different aspect of professional achievement. For example, invitations to publish chapters in books or editorials address an individual's recognition by peers in a field of expertise, whereas books and other teaching aids address a candidate's role in educational activities.



Peer-reviewed publications present an individual's original findings from basic, clinical, population based, education, or outcomes research. Four criteria are considered in the evaluation of peer-reviewed publications: quality of the journals, significance of the work, number of peer-reviewed papers, and role of the author.

*(1) Quality of the journals*

The stature of the journals in which papers are published is critically assessed by review committees. It is more important for a candidate to publish a few papers in top-rated journals in his/her field than to publish a quantity of papers in journals that are less well regarded.

*(2) Significance of the work*

To assess the impact that the candidate's work has had in his/her field, review committees rely heavily on the information supplied in the department chair's recommendation for action. In addition, reviewers are specifically asked to address this issue in letters of recommendation. The candidate synopsis can also indicate the significance of published work. Finally, the candidate may submit no more than five publications or other examples of scholarly work for committee review.

*(3) Number of publications*

It is not possible to specify a fixed range for the number of published papers required for promotion to each rank. The number of peer-reviewed papers is considered, but it is not the most important factor in assessment. In general, however,

- (a) The number of papers published should increase with rank; and
- (b) As a given candidate progresses in his/her career, there should be evidence of continued productivity as demonstrated by an increased number of papers.

*4) Role of the author*

Today it is rare to see a scientific paper that is written by one author and each author's role is not always obvious from his/her position in the listing of authors.

Thus, it is important that the candidate and his/her department chair state clearly in the cover letter and in the synopsis the role of the candidate in significant publications. Papers published by trainees in the candidate's laboratory or clinic should be identified as this indicates the mentorship role of the candidate.

*c. Teaching*

Various options exist upon which to judge a candidate's credentials in teaching. These include: (1) didactic course offerings, (2) tutorials, (3) supervision of doctoral students, (4) supervision of postdoctoral trainees, (5) training of medical students, residents and fellows and (6) visiting scientists.



For the basic scientist, all are pertinent. For faculty engaged in clinical activities, the training of fellows and residents is an important area of teaching. Other objective evidence of teaching excellence includes the publication of books, chapters in books recognized as teaching instruments, teaching manuals, and educational videos, all of which demonstrate active involvement in teaching activities with peer recognition.

Additional activities germane to the evaluation of teaching include:

- (1) serving as a mentor for high school or college students;
- (2) invitations to teach refresher courses at other institutions or at national/international meetings;
- (3) meaningful administrative responsibilities for educational programs within department and division fellowship training programs;
- (4) active participation in local and national organizations promoting education;
- (5) appointment as chair or program committee member for a major national conference, continuing education program, or research meeting.

*d. External Recognition*

Indications of the recognition of a faculty member outside UTHSCT include: (1) Letters of Reference (letters should include information regarding the impact of the candidate's basic or clinical research on her/his field of specialization). Letters should also comment on the candidate's scientific achievements and his/her potential; (2) officership in societies; (3) journal editorships; (4) membership in study sections or council membership; (5) invited presentations; (6) awards; (7) invited book chapters and editorials; and (8) visiting professorships.

Although in the past a distinction has been made between national and international recognition in terms of qualifications for promotion to associate professor and professor, this is an artificial and ambiguous delineation. The scope and level of professional recognition among peers in a particular field of specialization are more appropriate criteria. However, it is appropriate that recognition level increase with academic rank.

*e. Collaborative Scholarly Activities*

Some individuals further UTHSCT's mission by playing a role as a key collaborator, without whom the work could not be carried out. These efforts are rarely indicated by first or last authorships on publications, and such individuals rarely serve as principal investigators on grants, although they may be essential collaborators. Such collaborative efforts also constitute scholarly contributions and should be recognized as such.

*f. Service*

Some evidence of willingness to become a part of the social and scientific fabric of UTHSCT should be obvious in a candidate's curriculum vitae. This is important not only for promotion but also for award of tenure.



Service to UTHSCT includes: (1) committee participation; (2) furthering UTHSCT's mission by means of collaboration with other faculty within UTHSCT; (3) consultation; and (4) performance of leadership roles in administration.

*g. Clinical Excellence*

Faculty whose primary career goals are focused on excellence in the delivery of patient care and education, rather than research, are equally essential to the mission of the Institution. Given that one of UTHSCT's primary missions is clinical care, it is fitting that recognition should be given to outstanding academic clinicians by the award of tenure.

Criteria for promotion in rank are demonstrating exemplary leadership as clinicians, being held in high regard by one's colleagues for clinical competence and teaching qualities, and bringing respect to one's department and institution. Clinical faculty include physicians, whose major responsibilities involve clinical care.

The practice of clinical medicine is not uniform. If it were, there would be little reason for UTHSCT to rightfully consider itself distinctive as a center of clinical excellence. Having recognized that gradations in clinical practice exist in the community at large, it must be admitted that these gradations also exist at UTHSCT. Therefore, using only quantitative measures of clinical productivity to evaluate clinical faculty members is not appropriate. For this reason, evaluations of clinical excellence and productivity must rely heavily on recommendations from peers and supervisors. Furthermore, the Medical Executive Committee (MEC) will evaluate the clinical competence and collegiality of clinical candidates for promotion and tenure.

*h. Summary*

It is not the activities in any one category in any given year that are important in review of a candidate's credentials. Rather, what is critical is a consistent record of achievement over a period of years, signifying growth in a field. Although promise and potential are appropriate aspects in considering appointments and promotions in the lower ranks, appointments and promotions to the ranks of associate professor and professor indicate realization and actualization of potential, as demonstrated by achievement in the categories described above.

The ultimate criterion for academic promotion is scholarly achievement. Significant performance in research or patient care, teaching, and service to UTHSCT is necessary and serves to enhance the candidate's credentials. The candidate must demonstrate evidence of originality, initiative, and growth in academic pursuits, which can be judged in part from Letters of Recommendation that address the candidate's credentials.

Outstanding performance in basic science research is a condition for appointment of, promotion of or award of tenure to basic science faculty. The academic qualifications of candidates involved in laboratory research activities can be objectively assessed because research achievements are judged by the number and impact of peer-reviewed publications, extramural support, and external recognition.



## 2. Specific Qualifications for Appointment or Promotion to Academic Ranks on the Tenure Track

### a. Assistant Professor

Candidates for appointment or promotion to assistant professor shall have at least two years of postdoctoral experience or the equivalent as a basic scientist. The candidate shall have demonstrated evidence of originality, initiative, and growth in research by publishing in peer-reviewed scientific journals. The candidate should also show promise as a teacher with the ability to instruct students and trainees, either in a formal classroom environment or in one-to-one settings.

In addition to the above, physician candidates shall have demonstrated the ability to practice medicine. Board certification or Board eligibility by the appropriate American Specialty Board is mandatory.

### b. Associate Professor

Qualifications required for the rank of assistant professor are a prerequisite to consideration. In addition, the candidate shall have served at least three years as assistant professor or in a comparable position at this Institution, another component of The UT System, or any other academic institution or have other equivalent experience. Only the exceptional candidate may be promoted to associate professor after only three years in grade as assistant professor.

In addition, a research faculty candidate must give evidence of continued growth in her/his field of endeavor and must have demonstrated considerable ability in independent research, service, and teaching. He/she must have actively participated in a research program demonstrating original and creative scholarship that has led to peer-reviewed research support and the publication of articles of which the candidate is a major author and that have been subjected to discriminating editorial review. The publication record should be continuous, especially over the preceding five years. It is desirable that a candidate participate in Institution-wide educational or administrative activities.

### c. Professor

Candidates must have attained the qualifications required for the rank of associate professor as a prerequisite to consideration. In addition, they shall have served at least three years in the rank of associate professor at this Institution, at comparable institutions, or in The UT System or have demonstrated equivalent experience. Only the exceptional candidate may be considered for promotion to professor after only three years in grade as an associate professor.

Significant and consistent progress in all areas is expected of candidates for promotion from associate professor to professor. Promotion to professor further requires the candidate to have had a major impact on her/his field of specialization and for clinicians, with the impact being recognized locally and nationally. The candidate, in essence, should be recognized as an authority by her/his peers and should perform leadership roles of major significance to the long-range goals of UTHSCT.



Basic scientists eligible for the rank of professor should have: (1) demonstrated unusual skill in research leading to consistent production of scholarly research publications in peer-reviewed journals, recognition nationally and internationally for research expertise, and a consistent record of successful peer-reviewed research funding; (2) achieved recognition for excellence in teaching undergraduate and/or graduate students when such teaching opportunities are available; and (3) have a documented record of outstanding Institutional and national service.

*d. Seven-Year Probationary Period Considerations*

Not later than the sixth year of a seven-year probationary period of a faculty member with the rank of assistant or associate professor, the Chair of the Department will recommend to the administration: (1) award of tenure with promotion to associate professor (for assistant professors) or award of tenure with or without promotion to professor (for associate professors); (2) terminal appointment with notification not later than August 1<sup>6</sup> of the sixth year; or (3) a non-tenure track academic title at the same or higher rank.

If the recommendation is to terminate the appointment of the faculty member or to switch the faculty member to a non-tenure track academic title (non-tenured research appointment), the Department Chair should advise the faculty member concerned, in writing, of the reasons for this action.

The faculty member may appeal this judgment, in writing, to the Vice President for Research or Vice President for Clinical Affairs. An oversight committee of at least three tenured faculty members appointed by the PTC Committee must validate that the recommendation does not constitute an abuse of discretion of the Chair.

The maximum probationary period that may be served in any rank or in any combination in the ranks of assistant professor, associate professor, or professor shall not exceed seven years.

*e. Mid-tenure Track Review*

In their fourth year of a seven-year probationary period, all individuals shall receive a mid-tenure track review. This review shall be developmental and advisory in nature. It shall indicate the strengths and weaknesses of the candidate's performance and emphasize ways in which improvement may be made before promotion, or award of tenure. Associate professors without tenure who have not received a previous mid-tenure track review shall receive one within two years of attaining this rank. This review will proceed as prescribed below.

This review shall be conducted by three tenured individuals at the rank of associate professor or professor who are appointed by the department chair in consultation with the faculty member. Reviewers may hold appointments within or outside the faculty member's department; one or more of the reviewers may be from outside UTHSCT. Written comments shall be provided to the Department Chair and to the candidate, and shall form the basis for a discussion between the candidate and department chair. A plan for addressing any weaknesses identified should be

---

<sup>6</sup> BOR Rule 31007, Sec. 5



developed jointly. A memo summarizing this conversation should be signed by both the chair and the faculty member and transmitted along with copies of the reviewers' comments to the Vice President for Research or Vice President for Clinical Affairs for inclusion in the official staff file.

### **3. Specific Qualifications for Appointment or Promotion to Academic Ranks in the Non-Tenure (NT) Track.**

#### *a. Instructor*

Candidates for appointment to the rank of instructor shall have acquired either a Ph.D., M.D., or equivalent degree from an accredited institution, and be professionally competent. Teaching responsibilities are recommended and an academic focus is required of holders of this title.

No later than the beginning of the third academic year of service as instructor, the department chair and division head, where applicable, shall recommend to the administration for the next appointment period: (1) promotion to assistant professor; (2) additional appointment as instructor, however, individuals may serve no more than four academic years as an instructor; (3) appointment to a classified position; or (4) nonrenewal of appointment in accordance with applicable notification. Exceptions to this policy require written justification to and approval by the Vice President for Research or Vice President for Clinical Affairs

#### *b. Assistant Professor, Non-tenure Track in Research (NTRA)*

Candidate shall have a D.V.M., Ph.D., M.D. degree, or equivalent and meet the following criteria:

- At least two years as a postdoctoral fellow or equivalent experience
- Evidence of ability to carry out  independent or collaborative research
- Supports departmental/institutional  research or plays an essential role in departmental research mission

In addition, the candidate should demonstrate accomplishments in some of the following:

- Publications in peer-reviewed journals
- Promise as an educator
- Potential for originality, initiative, and growth in collaborative research and discovery
- Evidence of professional competence

Note: May be considered for multi-year appointment.

#### *c. Associate Professor (NTRA)*

Must meet all criteria for assistant professor (NTRA) and, in addition, must meet the following criteria:

- Assistant Professor for at least three years;
- Acknowledged expertise by intra- and/or extramural peers;
- Accomplishments in one or more of the following:



- Recognized for substantial contributions to collaborative research programs;
- Essential role in multidisciplinary research, supervision of core facilities and/or research administration
- Essential role in institutional service and/or educational functions;
- Evidence of productivity as measured by publications in peer-reviewed
- Journals and scholarly contributions, such as teaching/training manuals and electronic media production; and
- Co-investigator on externally funded research.

Note: Candidate may be considered for multi-year appointment.

*d. Professor (NTRA)*

Must meet all criteria for associate professor (NTRA) and, in addition, must meet the following criteria:

- Associate Professor for at least five years;
- Recognized expertise on the local and national levels;
- Leading contributions to collaborative or multidisciplinary research;
- Leadership role in supervision of core facilities and/or research administration and/or
- Education;
- Leadership role in institutional service such as committee membership;
- Continuous evidence of productivity as measured by publications in peer-reviewed journals and scholarly contributions, such as teaching/training manuals; and
- The candidate is expected to be a co-investigator on externally funded research.

Note: The appointment/promotion to the rank of Professor is reserved for exceptional faculty. May be considered for multi-year appointment.

## **F. Term Tenure**

Tenure denotes the status of continuing appointment as a member of the faculty. For UTHSCT, the Board of Regents has authorized renewable term tenure, limiting the period of continuous appointment to seven years.

Term tenure is a dual commitment and responsibility of the individual faculty member and UTHSCT to each other.

Term tenure will not be awarded automatically or necessarily simultaneously with appointment or promotion to associate professor or professor. Term tenure will not be awarded automatically at the time of initial appointment to faculty who are tenured at their home institution. Term tenure will be considered on an individual basis. In the review and evaluation process, the PTC considers appointment to rank and award of tenure to be separate issues and records separate votes for each.



Term tenure and compensation are separate matters. Term tenure appointment denotes a status of seven years of employment as provided by Regent's Rules and Regulations and does not guarantee any certain level of compensation.

The PTC is responsible for ensuring that only competent and effective faculty are recommended for the initial award of term tenure. It is the further responsibility of the PTC to ensure that only those who remain competent and effective are recommended for renewal of term tenure.

## **1. Criteria for Award of Term Tenure**

Award of seven-year tenure is restricted to those with the academic rank of associate professor or professor. In essence, the award of tenure denotes recognition of continuing value and contributions to UTHSCT. To qualify for tenure, a candidate must first fulfill all criteria for the specified academic rank (associate professor or professor). In addition, a candidate must show commitment to the missions of UTHSCT and must hold leadership roles at the institutional level that are of major significance to the long-range goals of UTHSCT.

The four major components of tenure are: (1) achievement; (2) productivity; (3) scholarship; and (4) value and commitment to UTHSCT and its missions.

The first three, achievement, productivity, and scholarship, are associated with promotion. However, it is the last, value and commitment to UTHSCT, that sets tenure apart from promotion. The criteria for tenure are more difficult to define, as well as to quantify objectively, than are the criteria for promotion. Promotion is measured and tied to publication of manuscripts, both educational and peer-reviewed, and to the ability to attract peer-reviewed funding. Tenure is related to the value of work to UTHSCT in a broad sense of recognition in the scientific, medical, and lay community and the mutual commitment between UTHSCT and the individual.

An important criterion for the award of tenure in our Institution is a commitment to the educational mission of UTHSCT.

In addition, both the medical and basic science faculty should show a willingness to participate in programs established for students at multiple levels. Graduate students, postdoctoral students, and visiting scientists are an important part of research work in the laboratory, and it is important that the faculty be willing to serve as mentors.

Commitment to serve on institutional committees is another measure of value to UTHSCT, as is participation in community outreach programs.

## **2. Qualifications for Award of Tenure**

Prior to consideration by the PTC, candidates for tenure must have been recommended by their department chair. For faculty engaged in research, the qualifications include:



- *Evidence of achievement and productivity*
- *Contribution to UTHSCT's research mission*
- *Participation in activities that reflect national and international peer recognition.* Examples of such activities are: (a) invited presentation of scholarly work at national and international meetings and conferences; (b) invited chapters in highly regarded scholarly publications in one's field; (c) invited editorials in highly regarded journals in one's field; (d) authorship of books in one's field; and (e) visiting professorships at other institutions. The above activities also manifest a strong educational and scholarly component that is not necessarily part of research publications.
- *Commitment to UTHSCT's educational mission.* This commitment should be demonstrated via teaching within UTHSCT, whether at the bedside or in formal didactic lectures. For the basic science faculty, teaching activities should include didactic lectures and/or a commitment to teach graduate students and postdoctoral students within the laboratory.
- *Service on Institutional committees.*

### **3. Term Tenure Appointment Review**

Confidential written evaluations by faculty peers must be obtained on all candidates for the award of or first renewal of tenure. The requirements for these letters are the same as those required for promotion to Associate and full Professor.

A faculty member who is in his/her sixth year of tenure and has had one prior renewal of a tenure shall be eligible for PTC committee review for all subsequent renewals of tenure. In this instance, documentation submitted to the PTC shall consist of a letter of recommendation from the department chair, an updated curriculum vitae, and the candidate's synopsis. Letters from external referees will not be required unless requested by the PTC.

Although tenure may be granted at the time of initial appointment, faculty members have usually completed a probationary period that is no longer than seven years' cumulative faculty service at UTHSCT. Only full-time service in an academic rank (professor, associate professor, and assistant professor, or combinations thereof) counts toward fulfillment of any required probationary period. Periods during which a faculty member is on leave of absence shall not be counted, nor will prior service at other academic institutions.

Tenure may be granted to faculty members following an evaluation of their academic qualifications by their department chair, the PTC, Vice President for Research or Vice President for Clinical Affairs and President. Individuals concerned and their department chair will be notified by the President no later than the sixth year of the probationary period or the sixth year of the seven-year tenure period that a specific faculty member's probationary period or tenure period is due to expire. In addition, the PTC will be notified.



*a. Review process for the initial award of tenure*

Not later than the sixth year of a seven-year probationary period of a faculty member with the rank of assistant or associate professor, the chair of the department will recommend to the administration: (1) award of tenure with promotion to associate professor (for assistant professors) or award of tenure with or without promotion to professor (for associate professors or professors); (2) terminal appointment with notification not later than August 1 of the sixth year; or (3) a non-tenure track academic title at the same or higher rank.

If the recommendation is to terminate the appointment of the faculty member or to the faculty member to a non-tenure track academic title (non-tenured research appointment), the department chair should advise the faculty member concerned, in writing, of the reasons for this action.

The faculty member may appeal this judgment, in writing, to the Vice President for Research or Vice President for Clinical Affairs . An oversight committee of at least three tenured faculty members appointed by the PTC Committee must 1) validate that the recommendation does not constitute an abuse of discretion or 2) submit a recommendation for continuation of the tenure track or 3) request that the PTC consider the award of tenure without the department chair's concurrence.

*b. Review process for renewal of tenure*

All individuals in their sixth year of seven-year tenure will be considered for renewal of tenure by the PTC. The department chair must submit a recommendation (either positive, neutral or negative) for renewal of tenure to the Vice President for Research or Vice President for Clinical Affairs who will forward it to the PTC, where it will be reviewed and either endorsed or declined.

Renewal of tenure is based on the same criteria as those used for the initial award of term tenure, i.e., sustained performance in the several mission areas of UTHSCT. For the renewal of tenure, however, the context is different from that of the initial award. Thus, the following conditions should apply for tenure renewal:

- The renewal of tenure recognizes continuing accomplishments in the areas of research, patient care, prevention, education and service during the most recent period of tenure. The renewal of tenure also recognizes continued collegial and collaborative contributions to group activities.
- In addition, the contributions of the faculty member to UTHSCT over the entire time of their appointment at UTHSCT will be considered.
- The award of tenure at UTHSCT is given only after serious consideration. Renewal of tenure is a reassertion of the dual commitment and responsibility of the individual faculty member and UTHSCT to each other. As such, it should not be denied without substantive and objective, documented reasons that are reviewed by the Promotion and Tenure Committee.



*c. Promotion and Tenure Committee (PTC) Review*

The PTC reviews recommendations regarding tenure submitted by department chairs. After a careful evaluation of academic qualifications, the PTC makes recommendations to the President through the Vice President for Research or Vice President for Clinical Affairs regarding the initial award of tenure or a renewal of tenure. All recommendations are submitted in writing to the President and to the Vice President for Research within one week of consideration. The department chair and the candidate are also advised of the recommendation.

*d. Presidential review and actions*

The President makes all final decisions concerning the initial award and subsequent renewals of seven-year tenure. The President shall: (1) concur with PTC recommendation; or (2) reverse PTC recommendation.

Actions requiring further approval are submitted by the President to The UT System administration and the Board of Regents. After due consideration, the President may forward a favorable recommendation for tenure award or renewal to the Executive Vice Chancellor for Health Affairs, forward a recommendation for an alternate appointment, or take other administrative action. Only the favorable action of Board of Regents shall confer tenure, and the Board of Regents shall govern the administration of all tenure appointments.

*e. Notification*

Notification must be given to the faculty member no later than 30 days<sup>7</sup> before the end of the sixth academic year that seven-year tenure will not be awarded or will not be renewed at the end of the seventh year. In the event termination is planned, the faculty member must be given appropriate notice of separation.

#### **4. Interruption of Tenure or a Tenure-track Appointment**

The maximum duration of probationary tenure-track appointments is seven years. Tenure appointments are made for a continuous period of seven years. With justification, the department chair or a faculty member shall be allowed to request one interruption, without penalty, of the seven-year clock for a period of one year. Such justification may include, but are not limited to, military duty, administrative reassignment, assumption of exceptional administrative duties, or medical reasons, including medical disability.<sup>8</sup>

This Interruption requires department chair approval as well as the Vice President for Research or Vice President for Clinical Affairs 's approval. Requests for additional interruptions during one seven-year period will be considered for dire circumstances only and will require strong justification. In cases of disagreement between a faculty member and his/her respective department chair regarding approval of the request for interruption of the tenure/tenure-track clock, the PTC shall act as arbitrator.

---

<sup>7</sup> BOR Rule 31002, Sec. 2.

<sup>8</sup> BOR Rule 31007, Sec. 5.1(b)(1)



The request for and subsequent interruption of the tenure/tenure-track clock must take place at the time it is needed, rather than at the end of the probationary or term appointment period, which will allow flexibility to individuals who require leave for military duty or for medical reasons, without the period of such leave counting against time in a tenure-track or tenure appointment.

## **5. Track Switching**

Faculty members are permitted up to two switches in tracks between tenure/tenure track and non-tenure track appointments, and a total of seven years in a tenure tracking probationary period. For example, a faculty member may join UTHSCT as a non-tenure track instructor or assistant professor, be switched to the tenure track for a maximum of seven years, and be switched back to a NTCA/RA position if tenure is not awarded. Alternatively, a faculty member may join UTHSCT as a tenure track assistant professor and be switched to a non-tenure track position after one to seven years; a switch back to the tenure track or to a tenured position is then permitted, but the maximum probationary (tenure tracking) period may not exceed seven years.

In switching tracks, the faculty member must completely fulfill the criteria for appointments/promotion in the new track. Removal from the tenure track requires written notification of the faculty member by the Department Chair, with reasons stated; such action may be appealed in writing to the Vice President for Research or Vice President for Clinical Affairs.

### *References:*

[BOR Rule 31001-Faculty Appointments and Titles](#)

[BOR Rule 31002-Notice of Nonrenewal to Nontenured Faculty Members](#)

[BOR Rule 31007-Tenure](#)

[BOR Rule 31102-Evaluation of Tenured Faculty](#)

[Texas Ed. Code 51.943-Renewal of Faculty Employment Contracts](#)