



**Origination Date:** 12/2016  
**Last Approved:** 12/2016  
**Last Revised:** 12/2016  
**Next Review:** 12/2019  
**Owner:** *Kimberly Ashley: Exe Dir Of Univ & Comm Affair*  
**Policy Area:** *Governance*  
**References:**

## Faculty Appointment, Promotion, and Tenure

### Scope

All University of Texas Health Science Center at Tyler (the "University") faculty.

### Purpose

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.

### Definitions

**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 (7) years faculty service at the University 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

### I. General Provisions

As a state-supported institution, the University 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 the University's missions of patient care, disease prevention, research, and teaching is the most important resource at the University.

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 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 Sr. Vice President for Research, the Sr. Vice President for Academic Affairs, the President, and UT System Administration. The President, through the Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or the Sr. Vice President for Academic 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 the University. All actions related to appointments, promotions, and tenure will conform to the University's personnel policies, including affirmative action plans and procedures.

## **II. Faculty Ranks and Titles<sup>3</sup>**

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

### **A. Nontenure Track Ranks and Titles**

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. See the section on qualifications for specific criteria for faculty appointments.

#### **Nontenure Track titles include:**

1. *Teaching titles:* Professor of (title of discipline), Associate Professor of (title of discipline), Assistant Professor of (title of discipline), Instructor in (title of discipline).  
These titles are for persons appointed to positions for the primary purposes of teaching.
2. *Lecturer titles:* Lecturer, Senior Lecturer, Distinguished Senior Lecturer.  
These titles may be used for individuals who will serve as Teachers and whose teaching experience and qualifications are comparable to those faculty members in untenured, tenure-track positions.
3. *Patient Care or Research titles:* Professor of (title of specialty), Associate Professor of (title of specialty), Assistant Professor of (title of specialty), Instructor in (department).  
These titles are for persons appointed to positions for the primary purposes of patient care and other service activities or to positions for the primary purposes of research activities. These individuals may be assigned teaching responsibilities.
4. *Visiting faculty titles:* Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor.  
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 the University on a trial basis. Such appointments are subject to annual review and are limited to two (2) years.
5. *Adjunct faculty titles:* Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, Adjunct Instructor.  
These titles may be used when a qualified person from business, industry, government, private practice, or another institution of higher education may be teaching a course or conducting research at the

University. This prefix should only be used for those persons not involved in patient care who otherwise satisfy the above criteria. Appointments to the faculty with an adjunct title may be with or without pay.

6. *Clinical faculty titles:* Clinical Professor, Clinical Associate Professor, Clinical Assistant Professor, Clinical Instructor.

These titles may be used to designate regular part-time or full-time service on the faculty while involved in a professional clinical experience program. These titles are for persons appointed to positions for the primary purpose of clinical activities.

7. *Adjoint faculty titles:* Adjoint Professor, Adjoint Associate Professor, Adjoint Assistant Professor.

These titles may be used to designate faculty who serve the University in cooperative or joint programs pursuant to a memorandum of understanding, cooperative research and development agreement, or similar partnership instrument. Persons holding these titles will be employees of and compensated by the partnering organization. They will not be deemed employees of the University. They will, however, have the same obligations, responsibilities, and authority as regular faculty employed directly by the University when performing faculty functions pursuant to the agreement. Appointments will usually be part-time, and the term of the appointment shall be specified in the agreement between the partnering organizations.

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

Tenure track denotes a probationary period that allows a candidate to establish her/himself at the University and to show evidence of continual progress in her/his specific field of expertise.

### **Tenure Track titles include:**

1. Professor
2. Associate Professor
3. Assistant Professor

## **C. Term Tenure Ranks and Titles**

Tenure at the University is a seven (7) year term appointment that denotes a status of continuing appointment at the University as a member of the faculty for a period of seven (7) years. Term tenure may be granted at the time of appointment to any of such academic rank or may be withheld pending satisfactory completion of a probationary period (tenure track) of faculty service.

### **Term Tenure titles include:**

1. Professor
2. Associate Professor

## **D. Honorific Titles**

Honorary titles such as Dean Emeritus, Chair Emeritus, Professor Emeritus, and similar honorary designations may be given to a retired faculty member or in anticipation of the retirement of a faculty member, effective upon retirement. The appointment 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 Sr. Vice President for Research or Sr. Vice President for Academic Affairs to the President. On behalf of the President,

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

### **III. Terms of Appointment, Reappointment, and Notice of Nonrenewal**

If it is to the benefit of the University, faculty may be reappointed annually by UT System administration and the Board of Regents upon recommendation to the President from the Department Chairman and the Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs. The University shall offer such reappointment by memorandum of appointment for the next academic year not later than thirty (30) days before the first day of the academic year.<sup>4</sup>

#### **A. Nontenure Track**

##### **1. Terms of Appointment and Reappointment**

a) Nontenure track appointments to the faculty with the following titles shall be for a period of time not to exceed three (3) academic years. Such appointments terminate upon expiration of the stated period of appointment. If it is to the benefit of the University, reappointment may be offered.

(1) Lecturer, Senior Lecturer, Distinguished Senior Lecturer.

(2) Professor of (title of specialty), Associate Professor of (title of specialty), Assistant Professor of (title of specialty),

Instructor in (department).

(3) Clinical Professor, Clinical Associate Professor, Clinical Assistant Professor, Clinical Instructor.

b) Appointments to the faculty with the following titles are limited to two (2) years. Such appointments terminate upon expiration of the

stated period of appointment. If it is to the benefit of the University, reappointment may be offered.

(1) Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor.

c) Appointments to the faculty with the following titles shall be for a period of time not to exceed one (1) academic year. Such

appointments terminate upon expiration of the stated period of appointment. If it is to the benefit of the University, reappointment may

be offered.

(1) Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, Adjunct Instructor.

d) Appointment terms for faculty with the following titles shall be for a period of time not to exceed one (1) academic year, as specified in

the agreement with the partner organization.

(1) Adjoint Professor, Adjoint Associate Professor, Adjoint Assistant Professor

##### **2. Notice of Nonrenewal**

Nontenure track faculty are appointed for up to three (3) academic years, as outlined in the section above. All appointments are considered to end on August 31 unless otherwise indicated or a reappointment letter is issued.

If reappointment will not occur, the University will provide:

- Two (2) months' notice for nontenure track faculty with a primary appointment in a clinical (non-teaching and/or non-research) position.
- Six (6) months' notice for all other nontenure track faculty.  
The notice required by this Subsection is not applicable where termination of employment is for good cause under [Rule 31008](#), Section 1, of the Regents' Rules and Regulations.

## **B. Tenure Track**

### **1. Terms of Appointment and Reappointment**

Tenure track is the period of time during which a faculty member attempts to achieve the necessary qualifications to receive an award of term tenure at the University. The maximum period of probationary faculty service in non-tenured status shall not be more than seven (7) years of full-time academic service. Extensions of the tenure track period may be granted in limited situations, as allowed by Regents Rule 31007, Sec. 5.1, and outlined in Section V of this policy: Interruption of Term Tenure or a Tenure Track Appointment. Faculty members are permitted to switch tracks, as outlined in Section VI: Track Switching.

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.

### **2. Notice of Nonrenewal<sup>5</sup>**

In the event of a decision not to reappoint a nontenured, tenure track faculty member, written notice will be given as follows:

- Not later than March 1 of the first academic year of probationary service if the appointment expires at the end of that academic year.
- Not later than December 15 of the second academic year of probationary service if the appointment expires at the end of that academic year.
- After two (2) or more academic years, written notice shall be given not later than thirty (30) days prior to the end of the then current academic year that the subsequent year will be the terminal academic year of appointment and a Memorandum of Appointment shall be provided to such faculty member in accordance with Texas Education Code, [Section 51.943](#).

The notice required by this Subsection is not applicable where termination of employment is for good cause under Regents [Rule 31008](#), Section 1.

## **C. Term Tenure**

### **1. Terms of Appointment and Reappointment**

The Regents' Rules and Regulations authorize the University to award a seven (7) year term tenure appointment through the Board of Regents; it denotes a status of renewable appointment as a member of the faculty for seven (7) years. A term appointment is held only at the component Institution and is not transferable.

If an individual is appointed to or promoted with term 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.

A person appointed to a term tenure faculty position at the University 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.[6](#)

Term tenure faculty appointments at the University 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 UT System. Such resignation must be completed and effective prior to the effective date of the appointment at UT System component; otherwise, such appointment shall be void and of no effect.

After a person holds a tenured or term tenure faculty appointment at the University, the acceptance of a tenured faculty appointment at any other educational institution outside UT System shall be considered as a resignation of UT System faculty appointment, unless otherwise allowed under Rule 31007, Sec 7.2.

## 2. Notice of Nonrenewal

A faculty member serving a seven (7) year term appointment shall be given notice not later than thirty (30) days prior to the end of the sixth (6th) academic year of such appointment period that the subsequent academic year will be the terminal year of employment or that, subject to the approval of the Board of Regents, or at the conclusion of the subsequent academic year he/she will be reappointed to a seven-year term appointment.[7](#)

The notice required by this Subsection is not applicable where termination of employment is for good cause under [Rule 31008](#), Section 1 of the Regents' Rules and Regulations.

## **IV. Appointment, Promotion, and Review**

### **A. Criteria for Appointment or Promotion of Faculty**

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

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 and productivity 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 the University 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.

### 1. *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 expectation of the University that all faculty members at the level of Assistant Professor and above, who spend seventy-five percent (75%) or more of their time on basic, translational, or population-based research, obtain at least thirty percent (30%) 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% contribution. 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.

### 2. *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 (4) 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.

#### a) *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.

#### b) *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 (5) publications or other examples of scholarly work for committee review.

#### c) *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,

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

#### d) 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.

### 3. *Teaching*

The commitment to the University's educational mission should be demonstrated via teaching within the University. Various options exist upon which to judge a candidate's credentials in teaching. These include: (1) didactic course offerings; (2) tutorials; (3) supervision of graduate and/or doctoral students; (4) supervision of postdoctoral trainees; (5) training of medical students, residents and fellows; and (6) service as a visiting scientist.

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; and (5) appointment as chair or program committee member for a major national conference, continuing education program, or research meeting.

### 4. *External Recognition*

Indications of the recognition of a faculty member outside the University 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 and should also comment on the candidate's scientific achievements and his/her potential); (2) officership in societies; (3) authorship of books in one's field and journal editorships; (4) membership in study sections or council membership; (5) invited presentation of scholarly work at international meetings and conferences; (6) awards; (7) invited book chapters and editorials in highly regarded scholarly publications and journals in one's field; (8) visiting professorships at other institutions; (9) participation in accreditation initiatives; and (10) generation of intellectual property or commercialization of basic discoveries.

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

### 5. *Collaborative/Scholarly Activities*

Some individuals further the University'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.

#### *6. Institutional Service*

Some evidence of willingness to become a part of the social and scientific fabric of the University should be obvious in a candidate's curriculum vitae. This is important not only for promotion but also for award of tenure. Service to the University includes: (1) committee participation; (2) furthering the University's mission by means of collaboration with other faculty within the University; (3) consultation; (4) performance of leadership roles in administration; and (5) significant community services, especially at the leadership level, central to the mission of the University.

#### *7. 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 University. Given that one of the University'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 the University 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 the University. 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 University's Medical Executive Committee (MEC) will evaluate the clinical competence and collegiality of clinical candidates for promotion and tenure.

### **B. Qualifications for Appointment or Promotion to Academic Ranks**

Documentation of qualifications for appointment and promotion are described in Section E, Tables 1 and 2.

#### *1. Instructor*

The candidate shall have acquired a Masters or equivalent degree from an accredited institution, be professionally competent, and meet the following criteria:

- Evidence of ability to carry out independent or collaborative research or other scholarly work
- Supports departmental/institutional research/teaching or plays an essential role in departmental research/teaching mission

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; (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 Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs.

## 2. Assistant Professor

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

- At least two (2) years as a postdoctoral fellow or equivalent experience
  - Evidence of ability to carry out independent or collaborative research or other scholarly work
  - Supports departmental/institutional research/teaching or plays an essential role in departmental research/teaching 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

## 3. Associate Professor

Must meet all criteria for Assistant Professor and, in addition, must meet the following criteria:

- Assistant Professor for at least three (3) years;
- Acknowledged expertise by intra- and/or extramural peers;
- Excellence in clinical performance for clinical faculty as gauged by peer review;

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.

## 4. Professor

Must meet all criteria for Associate Professor and, in addition, must meet the following criteria:

- Associate Professor for at least three (3) 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 or have been a principal investigator on externally funded research/ project.

Note: The appointment/promotion to the rank of Professor is reserved for exceptional faculty.

### **C. Tenure Track Appointment, Promotion, and Review**

#### 1. Specific Qualifications for Appointment or Promotion in the Tenure Track

In addition to above, candidates for appointment or promotion in the Tenure Track must meet the criteria detailed in this section. Documentation of qualifications are described in Section E, Tables 1 and 2.

a. Assistant Professor

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, they shall have served at least three (3) years in the rank of assistant professor at the University, at comparable institutions, or in UT System, or have demonstrated 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 (5) 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 (3) years in the rank of associate professor at the University, at comparable institutions, or in 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, and for clinicians, in her/his field of specialization, 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 the University.

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.

2. Mid-Tenure Track Review

In their fourth (4th) year of a seven (7) year probationary period, all tenure track faculty 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 such review within two (2) years of attaining this rank. This review will proceed as prescribed below.

This review shall be conducted by three (3) 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 University member's department; one or more of the reviewers may be from outside the University. 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 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 Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs, for inclusion in the official staff file.

### 3. Seven (7) Year Probationary Period Review

Not later than the sixth (6th) year of a seven (7) 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 18 of the sixth (6th) 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 Nontenure Track academic title, 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 Sr. Vice President for Research or Sr. Vice President for Academic Affairs. An oversight committee of at least three (3) tenured faculty members appointed by the Promotions and Tenure Committee (PTC) 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 (7) years.

### **D. Award and Review of Term Tenure**

Term tenure is a dual commitment and responsibility of the individual faculty member and the University 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 (7) 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 (7) 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

the University. To qualify for tenure, a candidate must first fulfill all criteria for the specified academic rank (assistant professor, associate professor, or professor). In addition, a candidate must show commitment to the missions of the University and must hold leadership roles at the institutional level that are of major significance to the long-range goals of the University.

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

The first three components, achievement, productivity, and scholarship, are associated with promotion. However, it is the last, value and commitment to the University 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 the University in a broad sense of recognition in the scientific, medical, and lay community and the mutual commitment between the University and the individual.

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

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 the University, as is participation in community outreach programs.

## 2. Term Tenure Award and Review

### a. Initial Award of Term Tenure

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 (7) years' cumulative faculty service at the University. 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, Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs, and President. Individuals concerned and their department chairs will be notified by the President no later than the sixth (6th) year of the probationary period that a specific faculty member's probationary period is due to expire. In addition, the PTC will be notified.

Not later than the sixth (6th) year of a seven (7) 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 (6th) year; or (3) a non-tenure track appointment at the same or higher rank.

If the recommendation is to terminate the appointment of the faculty member or appoint the faculty member to a non-tenure track 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 Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs. An oversight committee of at least three (3) tenured faculty members appointed by the PTC must: (1) validate that the

recommendation does not constitute an abuse of discretion by the Chair; (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. Renewal of Term Tenure

1. *First renewal* - All individuals in their sixth (6th) year of seven (7) year tenure will be considered for renewal of tenure. Individuals concerned and their department chair will be notified by the President no later than the sixth (6th) year of the seven (7) year tenure period that a specific faculty member's tenure period is due to expire. The department chair must submit a recommendation (either positive, neutral or negative) for renewal of tenure to the Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic 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 the University. 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 the University over the entire time of his/her appointment at the University will be considered.

The award of tenure at the University is given only after serious consideration. Renewal of tenure is a reassertion of the dual commitment and responsibility of the individual faculty member and the University to each other. As such, it should not be denied without substantive and objective, documented reasons that are reviewed by the PTC.

(2) *Subsequent renewals* - A faculty member who is in his/her sixth (6th) year of tenure and has had one prior renewal of term tenure

shall be eligible for PTC 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, updated curriculum vitae, and the candidate's synopsis. Letters

from external referees will not be required unless requested by the PTC.

c) Review Process for Initial Award and Review

Documentation of qualifications for award of term tenure are described in Section E, Tables 1 and 2. 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.

1. *PTC Review* - Prior to consideration by the PTC, candidates for term tenure must have been recommended by their department chairs. 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 Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs regarding the initial award of tenure or a renewal of tenure. All recommendations are submitted in writing to the President and to the Sr. Vice

President within one (1) week of consideration. The department chair and the candidate are also advised of the recommendation.

2. *Presidential Review and Actions* - The President makes final decisions concerning the initial award and subsequent renewals of seven (7) year term tenure. The President shall: (1) concur with the PTC recommendation; or (2) reverse the PTC recommendation.

Actions requiring further approval are submitted by the President to 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.

3. *Notification* - Notification will be given to the faculty member as outlined in the sections on Terms of Appointment, Reappointment, and Notice of Nonrenewal.

#### **E. Documentation of Qualifications for Appointment and Promotion**

1. Materials to be submitted by each faculty member for faculty evaluations, appointment, and review include the following:
  - a. *Department Chair Memo*. For joint appointment, a memo from chair of the department in which faculty will hold a joint appointment should be included.
  - b. *Curriculum Vitae*. Curriculum vitae (CV) must be less than three (3) months old and in an institutional format that is organized with the following content: 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.
  - c. *Referee Profile Form*. For promotion or term tenure reviews, Referee Profile Forms must be provided. Referees must be at proposed rank or higher and have had knowledge of the candidate's professional achievements within the past two (2) years.
  - d. *Letters of Reference*. Letters may be internal (referees internal to candidates' current institution) or external, as noted in the table below. A referee profile is required. The PTC may at its discretion request additional internal or external letters of recommendation.  
Important: For initial appointment, letters are solicited and addressed to the department chair. For promotion or term tenure reviews, letters are solicited by the appropriate department chair and addressed to that chair.
  - e. *Synopsis of Accomplishments Achieved During the Previous Evaluation Period*.
  - f. *Accepted Manuscripts*. Two (2) sets of five (5) reprints or preprints of manuscripts accepted since the previous evaluation.

Minimum documentation requirements are described in the following tables. Additional documentation may be required, at the discretion of the recruiting body or individual.

**Table 1. DOCUMENTATION FOR INITIAL FACULTY APPOINTMENT**

| <b>Academic Rank</b> | <b>C.V.</b> | <b>Reference Letters and/or Referee Profile Forms</b> | <b>Synopsis</b> | <b>Two Sets of Five Reprints</b> |
|----------------------|-------------|---|-----------------|----------------------------------|
|----------------------|-------------|---|-----------------|----------------------------------|

|  |          |                               |          |          |
|--|----------|-------------------------------|----------|----------|
| <b>Instructor1</b><br>(Nontenure Track Appointment)                            | required | 3<br>(all may be internal)    | optional | optional |
| <b>Assistant Professor</b><br>(Nontenure Track Appointment)                    | required | 3<br>(all may be internal)    | optional | optional |
| <b>Associate Professor</b><br>(Nontenure Track Appointment)                    | required | 4<br>(3 internal, 1 external) | optional | optional |
| <b>Professor</b><br>(Nontenure Track Appointment)                              | required | 4<br>(2 internal, 2 external) | optional | optional |
| <b>Assistant Professor</b><br>Tenure Track                                     | required | 3<br>(1 internal, 2 external) | required | required |
| <b>Associate Professor</b><br>Tenure Track, or<br>with award of term<br>tenure | required | 4<br>(1 internal, 3 external) | required | required |
| <b>Professor</b><br>Tenure Track, or<br>with award of term<br>tenure           | required | 4<br>(1 internal, 3 external) | required | required |

1 Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs review and approval.

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

| <b>Academic Rank</b>   | <b>Dept. Chair's Memo</b> | <b>C.V.</b> | <b>Referee Profile Forms</b> | <b>Minimum # Letters in Packet</b> | <b>Synopsis</b> | <b>Two Sets of Five Reprints</b> |
|--|---------------------------|-------------|------------------------------|------------------------------------|-----------------|----------------------------------|
| <b>Assistant Professor</b><br>(Nontenure Track Appointment)  | required                  | required    | 6                            | 3 (all may be internal)            | required        | required                         |
| <b>Associate Professor</b><br>(Nontenure Track Appointment)  | required                  | required    | 6                            | 4 (3 internal, 1 external)         | required        | required                         |
| <b>Professor</b><br>(Nontenure Track Appointment)  | required                  | required    | 6                            | 4 (2 internal, 2 external)         | required        | required                         |
| <b>Assistant Professor</b><br><ul style="list-style-type: none"> <li>• tenure track, or</li> <li>• switch to tenure track</li> </ul> | required                  | required    | 6                            | 3 (1 internal, 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 internal, 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 internal, 3 external)  | required | required |
| <b>Associate Professor and Professor</b><br>Second and subsequent renewals of term tenure   | required | required | 0 (unless requested by PTC) | 0 (unless requested by PTC) | required | required |

**V. Interruption of Term Tenure or a Tenure Track Appointment**

The maximum duration of probationary tenure-track appointments is seven (7) years. Tenure appointments are made for a continuous period of seven (7) years. With justification, the department chair or a faculty member shall be allowed to request one (1) interruption, without penalty, of the seven (7) year clock for a period of one (1) year. Such justifications may include, but are not limited to, military duty, administrative reassignment, assumption of exceptional administrative duties, or medical reasons, including medical disability.<sup>9</sup>

This Interruption requires department chair approval, as well as the Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic Affairs 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.

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. This 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.

**VI. Track Switching**

Faculty members are permitted up to two (2) switches in tracks between tenure/tenure track and non-tenure track appointments, and a total of seven (7) years in a tenure tracking probationary period. For example, a faculty member may join the University as a non-tenure track instructor or assistant professor, be switched to the tenure track for a maximum of seven (7) years, and be switched back to a Nontenure Track Appointment

position if tenure is not awarded. Alternatively, a faculty member may join the University as a tenure track assistant professor and be switched to a non-tenure track position after one to seven (1-7) years; a switch back to the tenure track or to a tenured position is then permitted, but the maximum probationary (tenure track) period may not exceed seven (7) 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 Sr. Vice President for Research, Sr. Vice President for Clinical Affairs, or Sr. Vice President for Academic 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 31008-Termination of a Faculty Member](#)

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

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

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

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

3<sup>^</sup> Regents' Rule 31001

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

5<sup>^</sup> Regents Rule 31002, Sec. 1.

6<sup>^</sup> Regents Rule 31007, Sec. 7.

7<sup>^</sup> Regents Rule 31002, Sec. 2.

8<sup>^</sup> BOR Rule 31007, Sec. 5

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



**Attachments:**

**Approval Signatures**

| Step Description | Approver                                     | Date    |
|------------------|--|---------|
|                  | Kirk Calhoun: President/Prof of Medicine     | 12/2016 |
|                  | Carol Davis: Executive Assistant, Senior     | 12/2016 |
|                  | Terry Witter: VP, Legal Affairs/ChiefLegalOf | 12/2016 |
|                  | David Conley: Dir of Institutional Risk Mgt  | 12/2016 |
|                  | Terry Witter: VP, Legal Affairs/ChiefLegalOf | 12/2016 |