

# **Faculty Appointment, Promotion and Tenure Award Guidelines**

## **UAB School of Medicine**

**September 2014**

### **Departmental Appointment, Promotion and Tenure (APT) Committee Guidelines**

1. Committee members should be full-time faculty at the Associate Professor and Professor ranks.
2. The APT committee will consist of a minimum of three committee members.
3. Department Chairs may not serve on the departmental APT committee.
4. Chair of the departmental APT committee should be elected by the committee members in consultation with the Department Chair.
5. Members of the committee should rotate off on a regular basis if feasible.
6. The Departmental APT process will include an avenue of appeal.
7. Only the committee members at or above the rank of the faculty member being considered will be allowed to vote for promotion. Only tenured faculty may vote on the granting of tenure.
8. The Department Chair may invite faculty outside of the Department, but within the University of Alabama School of Medicine (SOM) to serve on the departmental APT committee if there are not enough faculty of the appropriate rank and tenure status to constitute a committee.

### **Appointment and Promotion Guidelines**

Faculty member contributions to activities in the areas of research, teaching, and service are evaluated for promotion and tenure. All faculty members are expected to be engaged in scholarly activities that support the areas of research, teaching, and service in ways that are consistent with their unique roles. However, there is an expectation of excellence in these areas for those faculty members seeking tenure or promotion. This excellence is closely related to scholarship and includes peer review or recognition. Individuals appointed in the tenure-earning (TE) track are expected to demonstrate excellence or potential for excellence in at least two of these three areas; those in the non-tenure (NTE) track are expected to demonstrate excellence or potential for excellence in any one area. For promotion, individuals in the tenure-earning (TE) track are expected to demonstrate excellence in at least two of these three areas; those in the non-tenure earning (NTE) track are expected to demonstrate excellence in any one area. While promotion is based upon achieving excellence in two (TE) or one (NTE) area(s), faculty must show some evidence of scholarly activity and/or accomplishments in all areas, including the non-focus areas.

### **Assistant Professor**

Promotion to this rank usually required the following:

- Two or more years of work experience following receipt of Doctorate.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the SOM.

- An expectation of collegiality and participation in service in the Department and/or SOM.
- Demonstration of potential for scholarship in the areas of research, teaching, or service.

### **Associate Professor**

Promotion to this rank usually requires the following:

- Three or more years in the rank of Assistant Professor.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the SOM.
- Demonstration of collegiality and involvement in the Department and/or SOM.
- Evidence of scholarship in the areas of research, teaching, or service, documented by peer recognition at a national level.

Examples of activities that are consistent with the above guidelines follow for each of the three academic activities:

#### **Research**

1. Demonstration of initiative and independence in research activities in basic or translational science, clinical, outcomes, quality improvement or population-based research.
2. Publication of independent research findings and scholarly papers in peer-reviewed journals.
3. Obtaining grants and/or contracts for support of research.
4. Participation as a member of large research team(s), providing documented critical scientific contribution(s) or serving in a leadership role in directing the research.
5. Presentation of research and other scholarly findings at scientific and professional meetings.
6. Service on thesis or dissertation committees.

#### **Teaching**

1. Demonstration of mastery of content and method, documented by student and peer evaluation. All teaching activities should receive consideration.
2. Taking responsibility for the design, organization, coordination, and evaluation of an educational program.
3. Developing and/or presenting effective continuing education or other professional programs, including invited presentations.
4. Providing effective supervision, guidance, and/or counseling to trainees, including graduate students, postdoctoral fellows, and/or house officers.
5. Participation in educational program planning and general curricular activities.
6. Publication of papers and/or presentations at professional meetings on topics related to education.
7. Demonstration of innovation in teaching methods and production of texts, educational software or courseware.
8. Receipt of recognition as an exemplary scientist or clinician whose mentoring and teaching activities provide an outstanding role model for students.
9. Serving as principal investigator on grants or contracts for educational projects.

#### **Service**

1. Providing measurably excellent clinical productivity and exemplary patient care.
2. Providing demonstrable leadership or initiative in administrative or committee roles that

augment the missions of the Department and/or SOM in clinical care, research, and/or education such as originality in problem solving, authorship of guidelines or quality reports and policies.

3. Providing staff responsibility for a service or specific area of patient care.
4. Providing demonstrable leadership in quality improvement/assurance or patient safety initiatives.
5. Serving as critical member or director of a research core laboratory.
6. Serving on committees with the department, school, university and/or affiliated institutions.
7. Engaging in mentoring junior faculty colleagues.
8. Serving on committees to develop clinical practice guidelines or to formulate healthcare policies.
9. Providing service to the professional or lay community through education, consultation or other roles.

## **Professor**

Promotion to this rank usually requires the following:

- Distinguished performance as an associate professor, at least 3-5 years in rank.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the SOM.
- Demonstration of collegiality, involvement, and leadership as a citizen of the Department and/or SOM.
- Evidence of sustained scholarship and productivity in the areas of research, teaching, or service.
- Demonstration of national or international recognized excellence in the conduct of academic duties.

Examples of activities that are consistent with the above guidelines follow for each of the three academic activities:

### **Research**

1. Continued demonstration of initiative, independence, and sustained activity in basic science, clinical, outcomes, quality improvement or population research.
2. Sustained productivity as author of papers reporting independent research findings in peer-reviewed journals.
3. Record of sustained ability to obtain grants and contracts for support of research.
4. Receipt of recognition of excellence in research by professional or scientific institutions or organizations.
5. Continued critical contribution(s) to large research team(s).
6. Receipt of invitations to preside over sessions at national or international or scientific meetings.
7. Participation in external review committees, study sections, or service as editor of scientific or professional journals.

### **Teaching**

1. Sustained and outstanding performance in the examples cited for the associate professor level.
2. Leadership through design, organization, coordination, and evaluation of educational programs.
3. Administrative responsibility at the school or departmental level for curriculum.

4. Leadership in continuing education or other professional programs; invitations as visiting professor at other institutions.
5. Supervision of staff teaching within a course, division, department, or within the school.
6. Sustained productivity in publication of papers and/or presentations at professional meetings on topics related to education.
7. Sustained innovation and leadership in production of texts, educational software, or courseware.
8. Record of sustained ability to maintain external funding to support innovative educational projects.
9. Sustained recognition as an exemplary scientist, teacher or clinician whose activities provide an outstanding role model for students.

### **Service**

1. Continued demonstration of excellence of measurably excellent clinical productivity and exemplary patient care.
2. Sustained exemplary leadership in administrative committee roles that augment the missions of the Department and/or SOM in clinical care, research and/or education such as originality in problem solving, authorship of guidelines or quality reports and policies.
3. P r o v i d i n g s u s t a i n e d responsibility for a service or specific area of patient care or clinical teaching.
4. Sustained excellence in the leadership of quality improvement/assurance or patient safety initiatives.
5. Recognition as an authority by other schools and departments within UAB and by local, state, regional and national organizations or institutions.
6. Appointment to responsible position(s) within the institution or its affiliates (e.g., chairs a committee, department, or division; membership on major Department or SOM committees).
7. Extensive and excellent mentorship of faculty colleagues.
8. Continued service on committees to develop clinical practice guidelines or to formulate regional or national healthcare policies.
9. Election to responsible positions on civic boards or organizations concerned with health care issues at the local, state, regional, national or international levels.

### **Tenure Guidelines**

Any faculty member appointed to a tenure-earning faculty position shall have a maximum of ten years to earn tenure. This period will begin on the first day of October after the appointment on the tenure-earning track. If tenure has not been awarded in the ninth year, the appointment for the final year shall be a terminal appointment. To qualify for consideration of tenure during the terminal year, the individual must have been considered for tenure prior to the terminal year. Therefore, a promotion packet must be submitted for all faculty members in their ninth year on this track if tenure has not been awarded and if they chose to remain on the tenure track. Tenure decisions are made separately from appointment or promotion decisions. These decisions may be made at the same time or at separate points in time. Criteria for granting tenure include the following:

- Achievement of rank of at least Associate Professor.
- Academic credentials consistent with the missions of the department and the SOM.
- National reputation reflected by peer recognition, presentations at national professional meetings, and productivity in published works.

- Evidence of positive institutional citizenship, manifest as effective participation in service activities, mentoring of more junior colleagues, support of university missions and values, collegiality and leadership initiative.
- Evidence of sustained, significant scholarship in at least two of three areas, including research, teaching, and service.

## **Faculty Council**

The Faculty Council will serve as the Appointment, Promotion and Tenure Committee for the School of Medicine. This group will review and approve the initial appointment of all in-coming faculty members of the School of Medicine. Additionally, the Faculty Council will review all applications for promotion and tenure made by School of Medicine Faculty members. The composition and function of the Faculty Council is described below as outlined in the SOM by-laws.

The Faculty Council shall consist of Nineteen (19) full-time faculty members. Fourteen (14) members are elected by the faculty and the Dean shall appoint five (5) members. Department chairs may not serve as members and the Senior Associate Dean of Faculty Affairs and Professional Development shall serve as an ex-officio, non-voting member. The Dean shall invite nominees for the elected positions and will construct a ballot of eligible faculty for distribution to and election by all regular faculty members.

The Faculty Council will recommend a Vice-Chair who will be appointed by the Dean. This individual must have previously served as a regular member of the Faculty Council for at least one three-year term. This prior service may have occurred in an early appointment to the Faculty Council. With the endorsement of the Faculty Council membership and the approval of the Dean, the Vice-Chair will become the Chair. The term of service for the Vice-Chair and Chair is three years. The individual selected as the Vice-Chair should alternately be from a Joint Sciences and Clinical Department. Terms of appointment for faculty are three (3) years with one possible three (3) year renewal. The term of the Vice-Chair shall be extended so that they may serve one term as Chair.

It is the responsibility of the Faculty Council to review each application applying the standards described previously.

## **Scholarship and Scholarly Activity**

The SOM has a multifaceted mission that includes providing healthcare, conducting research, applying new knowledge to improve healthcare and delivery, and educating healthcare providers. This mission requires the commitment of a diverse faculty who are engaged in a full range of scholarly activities. As articulated in contemporary conceptualizations of scholarship<sup>1,2</sup> this range of activities includes the scholarship of discovery, application, teaching, and integration. The scholarship of discovery, teaching, and application relate directly to the SOM's major missions in research, teaching, and service. The scholarship of integration is related to all three areas and should be considered relative to contributions in the three primary areas.

While overlap may exist, a distinction exists between scholarly activity and scholarship. For example, delivering a good lecture in a medical school course is expected of a faculty member and is an example of scholarly activity. To qualify as scholarship in teaching, it is expected that the faculty member

publically disseminate the development of new courses, curriculum, and/or approach to teaching through publication or website posting. In service, a distinction can be made between a faculty member who provides competent clinical service as scholarly activity and one who is viewed as an authority in a specific area of clinical medicine as scholarship. Scholarly activity in research includes delivery of scientific presentation at regional, national, and international meetings or universities. Scholarship in research is achieved through peer reviewed publication of newly developed techniques, methods, or novel scientific discoveries. Application of the same method in support of the research mission of the SOM might be an example of scholarship in service if this method was judged by the faculty member's peers to be integrally important to the research mission.

### **Scholarship of Discovery**

"...the scholarship of discovery...comes closest to what is meant when academics speak of "research". No tenets in the academy are held in higher regard than the commitment to knowledge for its own sake, to freedom in inquiry and to following, in a disciplined fashion, an investigation wherever it may lead... Scholarly investigation...is at the very heart of academic life, and the pursuit of knowledge must be assiduously cultivated and defended."

### **Scholarship of Teaching**

"When defined as *scholarship* ...teaching both educates and entices future scholars. As a *scholarly* enterprise, teaching begins with what the teacher knows...Teaching is also a dynamic endeavor involving all the analogies, metaphors, and images that build bridges between the teacher's understanding and the student's learning...Further, good teaching means that faculty, as scholars, are also learners... In the end, inspired teaching keeps the flame of scholarship alive...Without the teaching function, the continuity of knowledge will be broken and the store of human knowledge dangerously diminished."

### **Scholarship of Application**

"The third element, the application of knowledge, moves toward engagement as the scholar asks, 'How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as to institutions?'...To be considered scholarship, service activities must be tied directly to one's special field of knowledge and relate to, and flow directly out of, this professional activity. Such service is serious, demanding work, requiring the rigor-and the accountability-traditionally associated with research activities."

### **Scholarship of Integration**

"By integration, we mean making connections across the disciplines, placing the specialties in larger context, illuminating data in a revealing way, often educating nonspecialists, too... Today, interdisciplinary *and* integrative studies, long on the edges of academic life, are moving toward the center, responding both to new intellectual questions and to pressing human problems. As the boundaries of human knowledge are being dramatically reshaped, the academy surely must give increased attention to the *scholarship of integration*."

**References:**

1. Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. Princeton University Press, 3175 Princeton Pike, Lawrenceville, NJ 08648.
2. Glassick, C. E., Huber, M. T., Maeroff, G. I., & Boyer, E. L. (1997). *Scholarship assessed: Evaluation of the professoriate*. San Francisco: Jossey-Bass.