

**THE DEPARTMENT OF PEDIATRICS
GUIDELINES FOR THE INITIAL APPOINTMENT, PROMOTION, AND
AWARD OF TENURE FOR FACULTY
(Revised 1/12/17)**

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DEPARTMENT OF PEDIATRICS MISSION STATEMENT

The Mission of the Department of Pediatrics: Clinical Care, Research, Education, and Advocacy:

- Improve the health of children of Alabama, and the region in collaboration with community health care providers, other community partners and advocacy efforts;
- Discover and translate important new knowledge to improved patient care (research ↔ clinical care);
- Educate patients, families, and health care providers and train the next generation of leaders in child-care medicine;
- Improve the clinical care delivery system so that it provides the best outcome at the lowest possible cost.
- Provide educational services to the communities that the Department serves
- Advance the efforts of Children's of Alabama

The Department of Pediatrics Mission Statement is the basis of all Department of Pediatrics activities and policies.

INTRODUCTION

These guidelines describe the specific criteria required by the Department of Pediatrics (DOP) for appointment, promotion, and award of tenure. These guidelines conform to those published in the UAB FACULTY HANDBOOK & POLICIES 2014 and the guidelines issued on September 2014 by the Dean of the School of Medicine.

The Chair of Pediatrics and the Division Directors have on-going responsibilities for:

- (1) Providing documentation at the initial appointment of a candidate to the faculty that specifies the faculty career path and focus. This will include describing the responsibilities and performance expectations of the Department and the appropriate division with regard to teaching, research, and/or service - which in the DOP means clinical and administrative service. This statement of responsibilities and expectations must be included in the letter of offer. The offer letter must also specify tenure track and status.
- (2) Ensuring annual completion and submission of the Electronic Faculty Evaluation (EFE). This includes goal setting by the faculty, and written review and documented meeting by the Division Director with the faculty member in order to assess progress, accountability, change in job expectations, and new assignments.

It is recognized that faculty careers do not always fit neat categorizations of research, teaching or service. However, for purposes of promotion, overall excellence, scholarship and a record of accomplishment are considered.

Note: In the DOP, Division Directors play a key role in faculty recruitment, appointment, evaluation, and promotion. All faculty will be reviewed via the annual EFE process. The Division Director and Department Chair will assess individuals who have been in tenure-earning rank for a minimum of two years on a

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biennial basis. The Appointment, Promotion and Tenure Committee (APTC) will also review faculty who are eligible, or soon to become eligible, for promotion. All APTC pre-tenure reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for his or her department file. (See UAB Section 2.15.7)

The Chair ensures the establishment of governing policies, participates actively in these activities, and reviews and approves all appointment and promotion decisions initiated by the division directors.

Divisional and departmental committees have important roles in mentoring, evaluating, and feedback to the faculty.

Individual faculty members have the responsibility to prepare/update a curriculum vitae and portfolio documenting his/her activities in teaching, research and/or service and to identify faculty references (jointly with the division director) inside and outside the institution who are knowledgeable about these activities and able to offer evaluation and comment.

PURPOSE OF THE APTC COMMITTEE

The primary purpose of the DOP APTC is to consider and make recommendations on faculty personnel actions whenever departmental or school level review is required and to present general advice and recommendations on faculty matters as requested.

The APTC will assist, as needed, the Chair and Division Directors in:

- (1) Ensuring completion of the annual EFE by the Faculty and their Division Director's assessment of progress, change in job expectations, and new assignments. The EFE is an integral and required component of the promotion and tenure process.
- (2) The Department Chair and the APTC are required to review and submit documented recommendations regarding the initial appointment of faculty at the ranks of associate professor and professor, tenure earning or tenured.
- (3) Formal documentation of the recommendations of the Chair and the DOP APTC is required for initial appointment, promotion or the award of tenure. The Chair and the APTC must submit separate reports to the Faculty Council regarding the qualifications of candidates for appointments or for promotion and award of tenure. The total number of votes for each candidate (for, against, and abstention) must be recorded on a submission form and submitted with the documentation package.
- (4) The APTC will serve as an additional resource for guidance of the faculty on the road to academic success.

COMPOSITION AND SELECTION OF THE COMMITTEE

The DOP APTC will consist of Associate Professors and Professors representing not less than five (5) tenured and not more than seven (7) non-tenured faculty of the Department of Pediatrics. Six (6) members will be nominated and elected by the faculty and six (6) members (or more, as needed) will be appointed by the Chair to serve a three year term. APTC members will be limited to two terms unless otherwise determined by the Chair of the Department. The APTC will comprise, to the extent possible, representatives from a cross-section of the subspecialties of Pediatrics as well as faculty well-versed in the teaching, research, and service activities of the Department. The Chair of the APTC will be elected by the APTC committee.

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APTC NOMINATION AND ELECTION PROCESS

- (1) All activity related to the nomination and election process will be conducted through a designated email account: ptcommittee@peds.uab.edu.
- (2) Annually, the faculty will nominate a slate of candidates from which two (2) will be elected to serve a three (3) year term. The term will run from May through April of the third year.
- (3) All nominees must be at the rank of Associate Professor or Professor, in good standing, and have agreed to serve if elected.
- (4) Over each three year period, the elected faculty representatives will comprise approximately half of the twelve member committee. The Chair will appoint the other members of the committee, as well as the replacement of members who cannot complete their term.
- (5) Following the initial election process, the following schedule will be used to nominate and elect committee members:

<u>DATE</u>	<u>ACTION</u>
April 1	Announcement of Nomination Period
April 15	Announcement of Election Slate and Faculty Voting Period
April 30	Announcement of Election Results, including vote totals
May	Orientation of New Members to Role and Responsibilities

DUTIES OF THE COMMITTEE

I. NEW APPOINTMENTS

- A. Appointments at the rank of Instructor or Assistant Professor (tenure earning or non-tenure earning) - Initial appointments at the rank of Instructor or Assistant Professor may be recommended by the Department Chair without review of the APTC. As with all faculty appointments, these appointments are also subject to final approval by the Dean, Provost, and President of the University. Each Division Director should ensure that the Chair is informed of an active recruitment and that the Chair meets with the candidate during the final stages of the recruitment.
- B. Appointments at the rank of Associate Professor or Professor, on the non-tenure earning or tenure earning track or with tenure require review and recommendation by the Department of Pediatrics APTC on the basis of documentation supplied by the Chair and Division Director. In addition, appointments at the rank of Associate Professor or Professor also require review by the APTC and Faculty Council. The DOP APTC will apply the guidelines for promotion and/or the award of tenure as described below to all appointments. Each Division Director should ensure that the Chair is informed of an active recruitment and that the Chair meets with the candidate during the final stages of the recruitment.
- C. Secondary Appointments - Proposed secondary appointments can be reviewed and approved by the Chair and Division Director alone. The appointment is initiated by a letter from the candidate's primary Department, which should include a programmatic rationale for granting a secondary appointment in the DOP.

II. FACULTY PROMOTION

A. Overview of Promotion Process

Promotion for qualified faculty is an important goal of the DOP. Helping faculty understand the promotion process and what is required for promotion are roles that are shared by the Chair, Division Directors and the Office for Faculty Development. Helping faculty to define and achieve a body of work that convincingly justifies recommendation for promotion by the DOP APTC and the Faculty Council are

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critical to this process. Annual goal setting and review via the annual EFE is designed be an integral part of this process.

1. During the faculty evaluation process (January – April), Division Directors will consider faculty for potential promotion and/or tenure consideration and discuss academic goals that will lead to promotion. The Chair will meet with faculty members every two years to review progress and attainment of identified goals. This encounter will provide an opportunity to discuss whether the faculty member is on track for the award of tenure or promotion.
2. Division Directors should send a brief written (email) request (April-June) for consideration of promotion along with an updated CV to the Chair, for any faculty member being recommended. The Chair will also have electronic access to the faculty member's annual evaluations.
3. In general, a meeting (June-August) will be set up between the Chair and the faculty member who is being recommended for promotion/tenure. The candidate will provide a statement identifying their area of excellence with a brief supporting narrative describing their contributions, and an education portfolio, where appropriate. The goal of this meeting is to better prepare the candidate for consideration by the APTC and provide advice to the candidate on his/her readiness for promotion. The Chair will send to the faculty member information regarding timely submission of information for the Fall meeting of the APTC.
4. If the APTC is supportive of the faculty member going forward at the Fall meeting, the faculty member will receive information regarding what must be presented at the Winter meeting of the APTC and eventually to the Faculty Council for consideration of promotion and/or tenure.

B. University of Alabama School of Medicine (UASOM) And DOP Promotion Guidelines

Criteria for promotion on the academic tracks include contributions in the area of research, teaching, and/or service. Individuals appointed in a tenure-earning track are expected to demonstrate excellence or potential for excellence in at least two of these three areas; those in a non-tenure earning track are expected to demonstrate excellence or potential for excellence at least one area.

Promotion from Instructor to Assistant Professor

Promotion to this rank usually requires the following:

- Three or more years of successfully completed post-doctoral experience.
- Appropriate academic credentials and the demonstration of a level of specialized accomplishment appropriate to the mission of the Department and UABSOM.
- An expectation of collegiality and participation in service in the Department and/or UABSOM.
- Demonstration of potential for scholarly achievement in areas of research, teaching, and/or service, as appropriate.

Promotion from Assistant Professor to Associate Professor

Promotion to this rank usually requires the following:

- Five or more years in rank as an Assistant Professor, unless an exception is made by the Chair.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and UABSOM.
- Demonstration of collegiality and involvement in the Department and/or UABSOM.
- Evidence of scholarly achievement in areas of research, teaching, and/or service, as appropriate, documented by peer recognition at a national level.

Examples of activities consistent with the guidelines for promotion to associate professor:

Research

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1. Demonstration of initiative and independence in research activities in basic science, clinical, outcomes, population based research or quality improvement science.
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 contributions.
5. Presentation of research and other scholarly findings at scientific and professional meetings.
6. Service on thesis or dissertation committees, including mentoring post-doctoral scientists.

Teaching

1. Demonstration of mastery of content and method documented by student and peer evaluation. All teaching activities receive consideration.
2. Taking responsibility for the design, organization, coordination, and evaluation of a course or series of lectures.
3. Developing and/or presenting effective continuing education or other professional programs, included 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 manuscripts or other scholarly publications
7. Presentations at professional meetings.
8. Demonstration of innovation in teaching methods and production of texts, simulation projects, educational software or courseware.
9. Receipt of recognition as an exemplary scientist or clinician whose mentoring and teaching activities provide an outstanding role model for students.
10. Serving as principal investigator on grants or contracts for educational projects.

Service

1. Providing exemplary patient care and/or service in administrative or committee role(s) that augment the missions of the Department and/or UABSOM. Developing a regional or national reputation in a particular area of clinical care and/or a regional or national referral base or area of expertise is one way to demonstrate accomplishment in clinical service
2. Providing staff responsibility for a service or specific area of patient care.
3. Serving as a critical member or director of a research core laboratory.
4. Serving on committees with the department, school, university, and/or affiliated institution(s).
5. Engaging in mentoring junior faculty colleagues.
6. Serving on committees to develop clinical practice guidelines or to formulate healthcare policies.
7. Providing service to the professional or lay community through education, consultation, or other role(s).
8. Demonstrating leadership in quality improvement, safety or other system level activities that improve patient care.
9. Election and service to national societies.
10. Publication of manuscripts or other scholarly publications.
11. Presentations at professional meetings on topics related to unique clinical care.

Promotion from Associate Professor to Professor

Promotion to this rank usually requires the following:

- Distinguished performance as an Associate Professor, at least 5 years in rank, unless an exception is made by the Chair.
- Academic credentials and demonstration of a level of specialized accomplishment appropriate to

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the mission of the Department and UABSOM.

- Demonstration of potential for continued scholarly achievement in areas of research, teaching, and/or service, as appropriate.
- Evidence of sustained scholarly achievement and productivity in the areas of research, teaching and/or service as appropriate.
- Demonstration of nationally recognized excellence in the conduct of academic duties.

Examples of activities consistent with the guidelines for promotion to professor:

Research

1. Continued demonstration of initiative, independence and sustained activity in basic science, clinical, outcomes, or population based research or quality improvement and translational science. Sustained productivity as author of papers reporting independent research findings and scholarly papers in peer-reviewed journals.
2. Record of sustained activity to obtain grants and contracts for support of research.
3. Receipt of recognition of excellence in research by professional or scientific institutions or organizations.
4. Continued critical contribution(s) to large research team(s).
5. Evidence of recognition by invited presentations at national and international meetings.
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.
8. Service to the National Institutes of Health in any capacity.
9. Election to recognized academic societies (e.g. SPR, APS. AAP, etc.)
10. Election to leadership roles in national/international societies

Teaching

1. Sustained and outstanding performance in the examples listed for the associate professor level.
2. Leadership through design, organization, coordination, and evaluation of a course(s).
3. Administrative responsibility at the school or department level for curriculum.
4. Leadership in continuing education or other professional programs, invitations as visiting professor at other institutions.
5. Teaching in academic educational forums
6. Supervision of staff teaching within a course, division, department or within the school.
7. Sustained productivity in publication of manuscripts or other scholarly publications.
8. Sustained presentations at professional meetings on topics related to education.
9. Sustained innovation and leadership in production of texts, educational software or courseware.
10. Record of sustained ability to maintain external funding to support innovative educational projects.
11. Sustained recognition as an exemplary scientist, teacher or clinician whose activities provide an outstanding role model for students.

Service

1. Continued demonstration of excellence in patient care and/or service in critical administrative, core laboratory or committee role(s) that augment the missions of the Department and/or UABSOM. Recognition of a regional or national reputation in a particular area of clinical care and/or a regional or national referral base or area of expertise.
2. Senior staff responsibility for a service or specific area of patient care or clinical teaching.
3. Recognition as an authority by other schools and departments within UAB and by local, state and regional and national organizations or institutions.
4. Appointment to responsible position(s) within the institution or its affiliates (e.g. chairs a committee, department, or division; membership on major Department or UABSOM

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- committees.
5. Engaging in mentoring of faculty colleagues.
 6. Continued service on committees to develop clinical practice guidelines or to formulate regional or national healthcare policies.
 7. Election to responsible positions on civic boards or organizations concerned with health care issues at the local, state or regional, national or international levels.
 8. Demonstrating sustained leadership and transformation in quality improvement, safety or other system level activities that improve patient care.
 9. Publication of manuscripts or other scholarly publications.
 10. Presentations at professional meetings on topics related to unique clinical care.

Secondary Appointments

Secondary appointments in the Department of Pediatrics will generally reflect the current rank in the primary department. Changes can be reviewed and approved by the Chair and the appropriate Division Director, or they may be reviewed by the APTC if the Chair so directs.

III. Award of Tenure

Tenure decisions should be made separately from appointment or promotion decisions. These decisions may be made at the same time or at separate points in time. Only appointees holding the ranks of Associate Professor or Professor are eligible for the award of tenure, and only in accordance with policies stipulated for the awarding of tenure.

Subject to any applicable extensions provided in the UAB Faculty Handbook, the maximum tenure earning period in the Department of Pediatrics is ten years. Therefore, all tenure-earning faculty members must be reviewed for the award of tenure before or during their ninth year on the faculty. The maximum total period for full-time tenure-earning is ten years. If the tenure decision made in the ninth year is negative, a one-year terminal appointment will be offered by approved extension granted by the Provost. If tenure has not been awarded prior to the tenth year, the final (tenth) year shall be a terminal appointment.

Tenure-earning years at other universities may count towards the three year minimum required before review for promotion in rank, but will not count as part of the nine year period before a candidate must be reviewed for award of tenure. Frequently, the award of tenure is not linked with promotion in the DOP.

Except under unusual circumstances tenure awards will be effective on October 1.

The award of tenure represents a considerable investment by the DOP and University. It signifies a mutual commitment of continued support from the institution and continued effective contributions by the faculty member. The nature of tenure at UAB is fully described in Section 2.15 of the UAB Faculty Handbook. In the Department of Pediatrics, the criteria for award of tenure revolve around evidence of *sustained and sustainable productivity*, excellence, and commitment to these goals as follows:

In a decision regarding award of tenure, the APTC will determine:

1. If the candidate has fulfilled the teaching, research, and/or service commitments as described in the initial letter of appointment and in subsequent annual evaluations, biennial career development reviews and demonstrated a sustained pattern of productivity in these endeavors. For example, physician-scientists and clinical investigators should have extramurally funded grants that have been successfully renewed and sustained peer-reviewed publications over 5 - 8 years. Clinician-

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educators should show proven and maintained leadership in clinical programs; publications and oral presentations in important forums (local, national, or international); and demonstrated and recognized publication of educational methods, educational grants, or other evidence of scholarship.

2. Strong evidence of sustained significant contribution and demonstrated excellence in at least two of three areas: teaching, research, and service.
3. Demonstrated professional growth and achievement and enthusiasm and commitment to continued productivity.
4. Continued importance and relevance of teaching, research, or service activities to program priorities within the Division, Department, and School.

IV. SUBMISSION OF CANDIDATE TO THE FACULTY COUNCIL

The APTC, after considering the candidates, will write a brief statement supporting each candidate being considered for promotion and/or award of tenure. The Chair of the APTC will be responsible for submitting this report to the Department Chair. This report and a separate written statement by the Chair and Division Director agreeing or disagreeing with the APTC's report will be included in the package forwarded to the Faculty Council.

V. APPEALS PROCESS

Faculty Appeal to Department of Pediatrics Appointment, Promotion and Tenure Committee

A faculty member denied the support of an application for promotion or tenure at the departmental level may appeal the decision in writing and request reconsideration of his or her credentials. Maintenance of an accurate, up-to-date curriculum vita and academic portfolio is the responsibility of each individual faculty member. Recent accomplishments or other changes in a faculty member's curriculum vita occurring after the deadline for submission of materials for review do not constitute grounds for appeal and will not be considered in the appeals process. Appeals should be made by the faculty within 15 days of being informed of decisions of the departmental Appointment, Promotion and Tenure Committee. Appeals will be addressed by the committee and departmental chair within 15 days.

If the appeal for promotion or tenure is denied at the level of the departmental committee or the departmental Chair and the faculty member asserts that his or her credentials have not been evaluated accurately, the faculty member may request that his or her application be advanced to the Faculty Council for consideration. However, a report of the departmental Appointment, Promotion and Tenure Committee and the department Chair, must accompany the faculty member's application when submitted to the Faculty Council.

Departmental Appeal to the Faculty Council

Appeals to the Faculty Council for a reconsideration of the judgment by the Council that a faculty member should be denied promotion, or tenure, shall be communicated verbally or in writing by the Appointment, Promotion and Tenure Committee Chair or by the Department Chair, or their designee, prior to the deadline set by the Faculty Council. A date will be granted for the Chair of the APTC and/or Department Chair to appear before the Council to present their appeal. Only new supporting documentation will be admissible in the appeal for consideration by the Faculty Council.

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VI. Appointments to Professor Emeritus

After ten or more years of service with the University of Alabama System, or with less service upon having made exceptional contributions to UAB or the System, a faculty member may be considered for appointment to emeritus status. The Department wishes to honor such individuals who have served as extraordinary role models, provided substantial and sustained contributions, and/or have increased and enhanced the prominence of the Department regionally or nationally through their professional accomplishments. A helpful measure in consideration of a candidate is, "What would the department be like without the contributions of this colleague?"

An emeritus appointment may become effective only after the faculty member retires and no longer holds the full-time position at the institution. However, continued engagement with the academic mission of UAB is not discouraged and while not required for appointment to emeritus status, may be a positive factor in the consideration for emeritus appointment. An academic administrative emeritus appointment, such as Chair Emeritus, may be conferred at such time as when the faculty member resigns from an academic administrative appointment, even though the faculty member may continue to hold a full-time faculty position at UAB until the time of retirement. An award of 'academic administrative emeritus status' shall be only at the DOP level and shall not be considered 'emeritus status' for purposes of the privileges described in the UAB faculty handbook.

An appointment to emeritus status shall be initiated at the departmental level by review of every retiring full professor, meeting the above mentioned criteria, by the Appointment, Promotion, and Tenure Committee (APTC).

Emeritus status will be decided based on the retiring candidate's extraordinary and sustained contributions to the UAB Department of Pediatrics and/or Children's of Alabama (COA) and/or children's health, in their leadership, teaching, scholarly career, and/or service. It is not the intent that every retiring professor receive emeritus status, but rather that each person's record of accomplishment is thoughtfully and judiciously considered.

The APTC will assign a minimum of three reviewers from divisions other than the candidate's to make the recommendation for this recognition. The review will be based on the candidate's CV, which should be up-to-date at the time of retirement, and on evidence of community activity, where appropriate.

If a faculty member receives the support of the APTC, and the chair concurs, a formal packet for appointment to emeritus status will be initiated at the departmental level with preparation of the UAB Agenda Item Recommendation Form. Accompanied by the faculty member's curriculum vitae, Board resolution and a cover memorandum delineating justification for the appointment, the form should be sent through the offices of the appropriate dean(s), library director, and Provost, and forwarded to the President. When the appointment has been approved by the President, the form will be forwarded to the Office of Human Resources, and notification will be sent to the faculty member. The appropriate personnel documents should be processed by the department according to university and Human Resources guidelines. Appointment to emeritus status is campus-specific. Current practice is for emeritus status to be approved by the Chancellor and the Board of Trustees.

Certain privileges will be inherent in emeritus faculty status. An identification card will be furnished to the person for use in the libraries, recreation center, bookstore, and campus dining facilities, and a guest-parking permit (annually renewable) also will be made available. Any faculty fees and charges for use of these facilities shall be applied to emeritus faculty. At the discretion of the appropriate dean or library director and/or department chair, laboratory or office space may be assigned, if such is available.

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This policy has been approved by both the Faculty Council and Dean's office.
January 2017