Appointments, Promotion, and Tenure of Faculty

RESPONSIBILITY

1.1 ADMINISTRATIVE

The Board of Regents (BOR) shall recommend to the President, USUHS the appointments of all faculty above the rank of Assistant Professor. The BOR action will be based on recommendations of the Dean, F. Edward Hebert School of Medicine (DEN). The DEN, on the recommendation of the appropriate Department Chair, may directly recommend other faculty appointments.

1.2 FACULTY: CAPT

1.2.1 Functions:

1.2.1.1 Review the recommendations of the Department Chair and departmental search/review committee for appointment, appointment renewal, reappointment promotion, or tenure of individuals to the faculty rank of Associate Professor or Professor for primary appointment.

1.2.1.2 Review the recommendations of the Department Chair or Interdisciplinary Program (IP) director for a secondary appointment or promotion of faculty at the rank of Associate Professor or Professor.

1.2.1.3 Determine if the academic rank proposed is consistent with current USUHS School of Medicine (SOM) policy and criteria, and establish that the proposed appointee is appropriately recognized by his or her peer group at the level requested.

1.2.1.4 Review the recommendation and report of the department review committee and Department Chair regarding academic qualifications for tenure of eligible faculty members not later than the end of the last probationary year.

1.2.1.5 Review recommendations of the Department Chair concerning faculty sabbatical leave. Approval of a sabbatical request can be granted by the Chair and Co-chair of the CAPT and does not require full committee review. Sabbatical actions will be provided as information items at the scheduled CAPT meetings.

1.2.1.6 Review all the evidence provided as grounds for the termination for cause of a non-tenured faculty appointment before the end of the specified time, or a tenured appointment.

1.2.1.7 Submit, in writing to the DEN, a recommendation to approve or deny an appointment, renewal of appointment, reappointment, promotion, tenure, sabbatical leave, appointment termination, or removal of tenure.

1.2.2 Membership:

1.2.2.1 The CAPT will consist of seven (7) voting members appointed by the Dean.

1.2.2.2 Membership shall include four (4) tenured civilian faculty and three (3) uniformed faculty with unmodified ranks of professor. Distribution of faculty membership with respect to the seventh member will alternate as required between Basic Science and Clinical Science departments each time a committee member's term expires. A minimum of three members shall be from the basic science departments and a minimum of three members from the clinical science departments. Faculty representatives will be selected from individuals recommended to the Dean by the Faculty Senate and Department Chairs.

1.2.2.2.1 One uniformed member should, if possible. have served or be serving as either a residency, program, or department head in one of the USUHS affiliated teaching facilities.

1.2.2.2.2 The Associate Dean, Faculty Affairs (ADF) will provide an orientation for all new members of the CAPT and provide the CAPT with updates in faculty policy. The ADF will serve as a non-voting advisor to the CAPT and will be available to clarify issues relating to policy defined in this Instruction. The Chair of the CAPT will serve as the point of contact for the ADF.

1.2.2.2.3 Faculty with administrative titles of President, USUHS. Vice- President, Dean, Associate Dean, or Assistant Dean shall not serve as members of the CAPT. These individuals shall not attend CAPT meetings except when requested by the committee.

1.2.2.3 Appointment to the CAPT will be for three years with at least two new members appointed each year.

1.2.2.4 Not more than one member of a department shall serve as a current member of the CAPT.

1.2.2.5 No CAPT member shall serve consecutive terms.

1.2.2.6 In the event of a vacancy the DEN shall appoint a replacement member of similar category (basic science/clinical science, uniformed/civilian) to complete the term of service.

1.2.3 Organization and Operation:

1.2.3.1 The CAPT will have a Chair and Co-chair (Chair elect), one basic science and one clinical science. The DEN will select a new Co-chair (Chair elect) each year. This appointment will alternate between basic science and clinical science members. The Chair elect must have served one year as a member prior to selection. The Chair and Co-chair will review the faculty submissions from their respective disciplines (clinical or basic science) prior to presentation at the CAPT. This review will serve to enhance the committee process by assuring that appropriate documentation and information is available for the CAPT to take appropriate action. The Chair and Co-chair will participate in discussion and vote on candidates.

1.2.3.2 The presence of five members shall constitute a quorum for all business.

1.2.3.3 The CAPT may develop and request the DEN to issue supplemental guidelines to Department Chairs or search/review committees. Such guidelines shall be limited by the criteria and requirements specified in this Instruction. Prior to implementation. proposed supplemental guidelines will be reviewed by the DEN and selected faculty consultants.

1.2.4 Review Policy

In arriving at its recommendation, the CAPT will follow the guidelines, definitions, and procedures presented in this Instruction and shall consider all aspects of the candidate's scholarly activities, professional service including clinical activities, institutional citizenship and administrative

accomplishments.

The CAPT will determine if the information submitted by the department is complete and sufficient to make its evaluation. The CAPT may seek further information by making specific requests to the Department Chair. In areas where the CAPT feels that additional information concerning a candidate's achievements is necessary, external reviewers may be used. These reviewers will be selected on the basis of expertise in the candidate's discipline or area of achievements. With the explicit permission of the candidate, reviewers will be sent a copy of the candidate's CV and bibliography, a copy of the candidate's statement of scholarly interests, and copies of the reprints furnished by the candidate. The CAPT decisions are deferred until all consultants' responses are acknowledged. The CAPT may defer consideration of recommendations it considers incomplete or questionable.

1.3 UNIFORMED SERVICES

The appointment of Members of the Uniformed Services Assigned to the USUHS. The surgeons general have agreed to assign uniformed services faculty to the USUHS and its affiliated medical and research centers for tours of duty as prescribed by their appropriate service.

1.3.1 The academic appointment for uniformed services faculty members shall be for their current duty assignment subject to annual review by the appropriate Department Chair. The duty assignment may be concluded as a result of parent service requirements or upon request of the DEN.

1.3.2 Continuance of academic appointments will be reassessed upon reassignment from the USUHS.

1.3.3 The academic ranks of uniformed faculty members will be determined based upon the criteria described in this Instruction.

1.3.4 Subject to a request from the appropriate Chair and approval by the CAPT and the DEN, uniformed services personnel who terminated their appointments upon leaving the university and are returning to the USUHS as uniformed members of the faculty will be re appointed at an academic rank not less than that previously held. This rule does not apply to individuals who held an appointment while on active duty and are seeking a new civilian appointment. These individuals must comply with the regulations concerning new appointments.

1.3.5 Uniformed services faculty shall have the academic rights and responsibilities afforded to civilian faculty members of the same academic rank provided that such rights and responsibilities are compatible with their uniformed status.

1.3.6 Responsibilities of uniformed services faculty to the USUHS, Department Chairs, local command, and the surgeons general are set forth in agreements with the surgeons general and in USUHS letters of appointment.

1.3.6.1 Billeted faculty members are responsible to the SOM Department Chairs and the DEN with respect to participation in research, educational, institutional citizenship, professional service, and patient care activities of the USUHS academic program. Faculty providing clinical services are concurrently responsible to the uniformed medical departments and medical or research center/activity commanders for such activities performed in facilities under their supervision.

2. POLICY ON APPOINTMENT OF FACULTY TO ADMINISTRATIVE POSITIONS

2.1 USUHS SOM appointments to administrative positions, including the DEN, Associate and Assistant Deans, Department Chairs, IP directors, and university associated military positions are without tenure.

2.2 Policy and procedures for the development of administrative positions and the search and selection of individuals is presented in USUHS Instructions 1107Ae and 1411f.

2.3 There is no right to a hearing before the Faculty Grievance Committee for termination of an administrative appointment.

2.4 The terms and conditions of every faculty administrative appointment shall be stated in writing and be in compliance with the official appointment regulations of the USUHS. Administrative appointments are not continuous appointments as the incumbent serves at the pleasure of their immediate supervisor(s).

2.5 Any subsequent extensions or modifications of the terms and conditions of appointment shall be stated in writing to the individual.

3. FACULTY TENURE: DEFINITION AND ELIGIBILITY

3.1 A tenured faculty member holds his or her position without discriminatory reduction in base salary or loss of such position and may not be dismissed except for cause and only through administrative processes pursuant to Public Law 92~426g and this Instruction.

3.2 Tenure shall be granted only to tenure eligible faculty members whose compliance with the stated USUHS standards of conduct, scholarly activities, professional service including clinical practice, and institutional citizenship meet the criteria specified in this Instruction.

3.3 Tenure will not be granted solely on the basis of length of service.

3.4 A faculty member is not eligible for tenure if:

- Under an active duty uniformed service appointment;
- Under an acting or visiting appointment;
- Under any appointment with a modified academic title
- Under any part-time position;*[Section 3.8]
- Under an affiliated appointment;
- Under an appointment as a Distinguished Professor;
- Under any other appointment for which the USUHS or the Henry M. Jackson Foundation in the case of an Endowed Chair or professorship does not provide the salary from its regularly appropriated or managed funds; or
- Admitted to work under a nonimmigrant visa.

3.5 Tenure eligible Professors shall be appointed with tenure.

3.6 Tenure eligible Associate Professors shall be appointed without tenure for a period of three years, unless the President, USUHS has provided written notice of appointment states otherwise. A tenure decision shall be made within three years. A person holding this rank at the SOM for three years shall either receive tenure before the end of the third year or be given notice terminating appointment at the end of the fourth year. Promotion for tenure eligible faculty from Assistant to Associate Professor shall include the granting of tenure.

3.7 Assistant Professors shall be appointed without tenure. Tenure eligible faculty holding this rank at the SOM for six years shall either be promoted to Associate Professor or be given notice terminating the appointment. Tenure shall not be granted at the Assistant Professor rank; tenure requires promotion to Associate Professor. A tenure eligible Assistant Professor may be promoted and granted tenure after three years, but shall normally not be promoted before five years of service at this rank.

3.8 Part-Time Appointments*:

A member of the faculty appointed to a part-time position is not eligible for tenure, unless the requirements for tenure eligibility are specifically waived in writing by the President, USUHS after consultation with the DEN, the CAPT, and the BOR at the outset of the appointment.

A member of the faculty with tenure who converts to part-time status does not have tenure in the part time status unless the President, USUHS after consultation with the DEN, the CAPT, and the BOR, notifies the individual in writing that tenure continues in the part- time status.

3.9 Tenure of Faculty Members in Administrative Positions:

Administrative positions are non-tenured. Eligibility for tènure of a faculty member who also holds an administrative position is solely based on their academic appointment.

4. FACULTY TENURE: PROCEDURES FOR THE GRANTING OF TENURE

4.1 The procedures set forth in USUHS Instruction 1107Ae and the University's procedures assuring compliance with affirmative action policies shall be followed.

4.2 For the purposes of the probationary period for tenure, the three and six year time frames referred to in this document will commence on the actual date of appointment.

4.3 Recommendations for tenure begin at the department level as set forth in [Sections 8 and 11].

4.3.1 The Department Chair shall annually review all individuals eligible for tenure. During the probationary period, the faculty member shall have access to information on the substantive and procedural standards employed regarding decisions affecting renewal of appointment, promotion and the award of tenure.

4.3.2 The Department Chair must complete and submit their requests with complete documentation for faculty tenure in a timely fashion to assure that the CAPT and the DEN can evaluate and act on the request within the proscribed time period.

4.4 Consideration by the CAPT:

4.4.1 The composition, functions, authority, responsibilities and procedures of the CAPT are set forth in [Section 1.2].

4.4.2 The CAPT recommendations shall be reported to the DEN.

4.4.3 The CAPT may defer consideration of recommendations it considers incomplete or questionable.

4.4.4 If action for promotion by the CAPT is not completed by the end of the sixth probationary year for Assistant Professor or the end of the third probationary year for Associate Professor, a memorandum from the CAPT that explains the circumstances will{ be sent to the DEN requesting a one-time extension of short duration to permit the CAPT to gather additional information. The DEN may grant an extension of the candidate's probationary period to allow for a proper and complete evaluation. A copy of the CAPT memorandum will be sent to the candidate's Department Chair.

4.4.5 The CAPT disapproval or deferral will be transmitted in the form of a memorandum through the DEN to the Department Chair, with copy to the candidate.

This memorandum shall describe the evaluation process and state the reasons for disapproval or deferral.

4.5 The DEN shall act upon the CAPT recommendations as set forth in [Section 8].

4.6 The BOR shall consider the recommendations of the DEN, and provide its advice to the President, USUHS for action.

4.7 The President, USUHS based on the recommendations of the BOR and with the information supplied by the DEN, shall take the appropriate action.

4.8 The Department Chair shall notify the candidate in writing of the tenure decision. If tenure is denied to a candidate who has served on the faculty for six consecutive years as Assistant Professor or three consecutive years as Associate Professor, the Chair shall advise him or her in writing that the appointment will terminate at the end of the succeeding year.

4.9 Prohibition Against USUHS Employment After Denial of Tenure:

4.9.1 A faculty member who has been denied tenure with the US UHS SOM and is subsequently terminated from his or her position in accordance with this section, shall not normally be rehired as a faculty member of the USUHS SOM for a period of three years following termination of the tenure-eligible track appointment.

4.9.2 An exemption permitting a new non-tenure appointment for the individual may be requested by the appropriate Department Chair with the concurrence of the departmental review committee and with the approval of the President, USUHS and the DEN.

4.9.3 If appointment to an academic position is approved, the faculty member will not be allowed to enter the tenure-eligible track during employment at the USUHS SOM, the rank during the restricted three year period will be no higher than that held at the time of denial of tenure, and all resource allocation to the individual (including amount and source of compensation, space, and other support) will require formal approval by the DEN.

5. FACULTY TRACKS

5.1 Policy:

Appointments to the faculty of the SOM will be in either the tenure-eligible tract or the tenure-ineligible track.

5.2 Assignment

5.2.1 Assignment to the tenure-eligible track will be limited by the restrictions presented in [Section 3.4].

5.2.2 Assignment of a civilian faculty candidate to one track or the another shall be made by the appropriate Department Chair and determined by the needs of the department and the SOM based on the nature and scope of the anticipated participation in scholarly activities, professional service, clinical service, and institutional citizenship relevant to the USUHS and its programs. Although emphasis among the areas of faculty responsibilities and activity will vary based upon the candidate's faculty tract and pathway, the level of performance in each will provide a common basis of evaluation,

5.3 The Tenure-Eligible Track:

5.3.1 Faculty in the tenure-eligible track will hold unmodified academic titles ranks and shall be eligible for the privileges and limitations thereof.

5.3.2 The tenure-eligible track is restricted to civilian faculty who will commit full time effort and responsibilities to the USUHS SOM programs, including assigned duties at the SOM affiliated institutions. Tenure-eligible track eligibility is based on specific criteria and institutional needs, and is not used to discriminate among faculty based on the value of an individual's contributions and achievements.

5.3.3 All appointments and renewal of appointments to academic positions within the tenure-eligible track, but without the award of tenure, are probationary.

The probationary period is a specified time period which the faculty member must demonstrate the qualifications required for appointment renewal, promotion. and award of tenure. In the case of a faculty member who has served in a tenure-eligible track equivalent appointment at another academic institution the amount of time counted toward the probationary period will be agreed upon and stated in writing at the time of the USUHS SOM tenure-eligible track appointment.

During the probationary period, the faculty member shall have access to information on the substantive and procedural standards employed by the USUHS regarding decisions affecting re-appointment, promotion, and the award of tenure. In addition, he or she shall receive from the Department Chair an annual evaluation of performance.

5.3.3.1 Duration: The maximum probationary period will be three years for Associate Professor and six years for Assistant Professor, commencing on the actual date of appointment. Review for promotion or tenure will be completed prior to the end of the last probationary year.

If a faculty member goes on approved leave for a period greater than three months for any purpose other than for scholarly or health purposes during his or her probationary period, there will be an agreement in writing with the faculty member, Department Chair and the DEN prior to the beginning of the leave, stating whether the leave time is to be counted toward completion of the remaining probationary time. Such an agreement shall be executed in writing before the beginning of the leave. In the absence of such letter, the leave will be counted as probationary time.

Scholarly leave of absence for one year or less will count as part of the probationary period as if it were prior service to another institution with the concurrence of the Department Chair and the DEN. Requests for extensions must be submitted in writing and will be reviewed and considered by the Chair and the DEN.

The initial six months continuous leave taken for medical reasons shall not count toward the probationary period. Requests for an extension following the six month period must be submitted in writing and will be reviewed and considered by the Chair and the DEN.

5.3.4 Academic appointments within the tenure-eligible track but without tenure shall not imply any assurance of renewal,

promotion or eventual award of tenure. Such actions must be based on a positive recommendation in accordance with procedures and standards established elsewhere in this Instruction.

5.3.5 The award of tenure can only be made by the President, USUHS based on the positive recommendation of the CAPT, the DEN, and the BOR.

5.4 The Tenure-Ineligible Track:

5.4.1 The tenure-ineligible track includes all uniformed service faculty members and those civilian faculty members not specifically appointed in the tenure-eligible track.

5.4.2 Full time civilian faculty appointments in the tenure-ineligible track shall be for terms of specified duration stated at initial appointment. The initial appointment of full time USUHS SOM civilian faculty members in this track will be for two years plus the time needed to establish an appointment expiration date of 30 June. Appointment duration for a non-billeted civilian will be for no more than three years. Appointments may be renewed with no limit to the number of renewals.

5.4.3 Non-billeted uniformed faculty appointments will be for the period of time that they provide teaching, research, and service activities to the SOM, subject to satisfactory periodic reviews to occur at intervals of no less than every three years, as determined by the appropriate SOM Department Chair. Appointments may be renewed with no limit to the number of renewals. Billeted uniformed faculty appointments will be as described in [Section 1.3].

5.4.4 Renewal of an appointment of tenure-ineligible civilian or uniformed faculty to a given academic rank requires that the individual meet the requirements for that academic rank as specified in this Instruction and has shown appropriate performance in his or her required areas of scholarly activity and service. Renewal of an appointment of tenure-ineligible track faculty will not occur with a reduction in academic rank.

5.4.5 The policy and procedures for promotion in the tenure-ineligible track will be the same procedures as for tenure-eligible track faculty of the equivalent rank as provided in [Section 1.3].

5.5 Pathways

Based on departmental needs, the criteria presented in this instruction, and with the concurrence of the faculty member, the department chair may assign a tenure-ineligible track faculty member to one of four specialized pathways: The Clinician-Educator Pathway, Clinician-Investigator Pathway, or the Research Pathway. In the case of full time billeted faculty recruited to engage primarily in teaching and other educational activities, these individuals will be assigned to the Educator Pathway. Tenure-ineligible track faculty not assigned to a pathway will be evaluated for appointment and promotion based on the same criteria for comparable academic ranks within the tenure-eligible track.

5.5.1 The Clinician-Investigator Pathway

Practicing clinicians whose primary scholarly achievements are in the educational, research, clinical, and professional service activities of the SOM will be eligible for appointment in this pathway. Faculty must be committed to the education~, research. and clinical service missions of the SOM. In addition to documentation of research activities, individuals in this pathway must take primary responsibility for patient care and be a integral component of the department's clinical and teaching programs.

Faculty performance review will be based on the duration of the appointment but at an interval not to exceed three years.

5.5.2 The Clinician-Educator Pathway:

Practicing clinicians whose primary scholarly achievements are in the educational, clinical, and professional service activities of the SOM will be eligible for appointment in this pathway. Faculty must be committed to the educational and clinical service missions of the SOM. They must take primary responsibility for patient care and must be a integral component of the department's clinical and teaching programs. Faculty in this pathway are encouraged to assume administrative responsibility for medical education and related clinical care activities at the USUHS or its affiliated teaching institutions. Faculty performance review will be based on the duration of the appointment but at an interval not to exceed three years.

5.5.3 Research Pathway:

Faculty recruited and employed to be principally engaged in the scholarship of discovery will receive an academic rank with the prefix RESEARCH. Faculty with research appointments may be appointed in full time tenure-ineligible track positions in either the basic or clinical science departments.

Faculty members with research pathway appointments will devote the preponderance of their effort to research and research related activities. The extent and significance of contributions to the research productivity of the department, other faculty, and students will be considered. While these faculty members will engage in finite teaching activities, their major responsibility will be the development of productive research programs. Teaching and non research related administrative service will normally occupy no more than 10-15% of their professional time. The amount of time allocated to teaching and administrative activities may be increased with the approval of the Department Chair. Financial support for the research activities associated with the faculty appointment is to be derived to the fullest extent possible from extramural research funds and grants.

Faculty performance review will be based on the duration of the appointment but at an interval not to exceed three years. Promotion and appointment renewal of faculty members in the research pathway is primarily contingent upon their research productivity. Performance criteria will include their efforts to acquire and succeed in the acquisition of research funds and grants. Teaching and administrative activities will be evaluated and appropriate consideration and emphasis will be given based on the program requirements of the department and the agreed upon responsibilities approved by the Department Chair.

5.5.4 Educator Pathway

The Educator Pathway provides departments within the SOM the mechanism to appoint scholars as members of the full time billeted faculty for the purpose of meeting educational requirements and advanced scholarship of teaching needs that can not be met by SOM faculty in the tenure-eligible track or other pathways within the tenure-ineligible track. Faculty recruited and employed in this pathway will be principally engaged in the scholarship of teaching and based on the criteria described in Educator Pathway [Attachment 1] will receive an unmodified academic rank of Associate Professor. Faculty within the tenure-eligible track that elect to transfer into the tenure-ineligible track per Section 11.1 of this Instruction are prohibited from entering the Educator Pathway. Academic promotion to Professor is not available for faculty within this pathway. A faculty member in the Educator Pathway interested in promotion to the rank of Professor may leave the pathway, with the concurrence of the department chair, and will be evaluated as a non-pathway member of the tenure-ineligible track [Sec. 5.5].

Appointments to the Educator Pathway are appropriate only for the performance of teaching and other educational responsibilities. Before recruitment into this pathway may occur, the position must be fully described and certified as essential to departmental and SOM educational needs by the Department Chair and are only established with the concurrence of the Dean SOM. The Chair's statement must provide the rationale necessary for conferring faculty status in order to attract, employ, and retain individuals of high quality and demonstrated teaching and educational competence to meet specific needs of the educational missions of the department and SOM. The statement must include details as to the candidate's responsibilities including anticipated teaching "load", student groups involved, and contact time. The position must be regularly re-certified as essential by the Department Chair and Dean SOM at intervals not to exceed three years. An initial appointment in the Education Pathway does not establish an expectation of appointment renewal.

Faculty members with educator pathway appointments will devote the preponderance of their effort to the scholarship of teaching and educational related activities. The extent and significance of contributions to the teaching and educational productivity of the department, other faculty, and students will be the primary consideration for these appointments. While these faculty members will engage in appropriate institutional citizenship and professional service activities, their major responsibility will be teaching and the development and maintenance of productive educational programs. Non educational related administrative service will normally occupy no more than ten-fifteen percent of their professional time. The amount of time allocated to administrative activities may be increased with the approval of the Department Chair

Faculty performance review will be based on the duration of the appointment but at an interval not to exceed 3 years. After the chair's re-certification of need and the Dean SOM concurrence, the main criterion for appointment renewal is excellence in the scholarship of teaching and continued evidence of educational productivity. Performance criteria may include efforts to acquire and succeed in the acquisition of funds and grants for educational purposes. Institutional citizenship, professional service, and administrative activities will be evaluated and appropriate consideration and emphasis will be given based on the program requirements of the department and the agreed upon responsibilities approved by the Department Chair.

5.5.5 The Associate Dean for Faculty Affairs, SOM will conduct a periodic review of faculty positions within the Research and Educator Pathways to ensure that the functions of these positions satisfy the requirements justifying their continuation. This review will be forwarded to the Dean SOM and the Chairperson of the CAPT. Should problems be identified concerning the use of the Research or Educator Pathway in a particular department or interdisciplinary program, the Dean SOM shall determine remedies after appropriate consultation.

6. FACULTY RANKS AND TITLES

6.1 The academic titles: Instructor, Assistant Professor, Associate Professor, and Professor denote increasing ranks within the professorial series. Other titles are used to describe faculty members whose duties do not correspond with traditional professorial appointments. Academic titles may be unmodified or modified as described below.

6.2 Unmodified Professorial Titles:

Individuals at the SOM or at affiliated teaching or research institutions who have made and continue to make major and consistent contributions in terms of time, scholarly activity, professional service, institutional citizenship to the programs, and activities of the SOM will be considered for appointments with unmodified academic titles at the ranks of Professor, Associate Professor, Assistant Professor, or Instructor. These ranks are used for all faculty: tenure-eligible. tenure-ineligible (clinician educator or investigator pathways), civilian or uniformed, billeted or non-billeted.

6.3 Modified Professorial Titles:

The titles listed below may be used for tenure ineligible faculty in either basic science or clinical science departments. Faculty holding any of the following prefixed titles who are recommended for an appointment at the rank of Associate Professor or Professor must fulfill the same eligibility requirements and undergo academic review as new candidates for such appointments.

6.3.1 The prefix RESEARCH will be used with any academic title to designate tenure ineligible faculty members in basic sciences and clinical sciences departments who are members of the RESEARCH Pathway.

6.3.2 The prefix ADJUNCT

It is recognized that there are professional scientists, clinicians, emeritus faculty, individuals in administrative positions, and others in the academic, clinical, scientific, military, and general community who have particular competencies that will enhance and benefit the mission of the USUHS SOM. To formalize their relationship with the USUHS, individuals whose contributions to USUHS SOM programs, although limited in terms of time, are of such value as to warrant recognition will be offered a tenure ineligible faculty appointment with the Adjunct prefix modifier. In clinical departments, this term will replace the "clinical" prefix modifier previously in use. Due to their limited USUHS directed activities, the academic rank of these faculty will be based for the most part on their achievements outside of the USUHS academic community. Appointment rank and promotion will be based on the appropriate application of the criteria defined in this instruction.

6.3.3 The prefix DISTINGUISHED may be used only at the rank of Professor and is reserved for senior individuals of national or international stature who contribute to the strength and development of the USUHS SOM programs. Appointments to this rank are biannual and require a recommendation from the BOR and approval by the President, USUHS.

6.3.3.1 The title Distinguished Professor of Military Medicine will be offered, with the concurrence of the Chair of Military Medicine. to the active Surgeon General of each of the uniformed services during their terms. The appointment is initiated by the DEN. The title is term limited and the individual will be eligible to apply for a faculty position within the traditional academic hierarchy following completion of his/her term as Surgeon General.

6.3.3.2 The prefix Distinguished used in any other SOM department by active duty uniformed personnel will be term limited and valid only while the individual holds the uniformed position held at the time of appointment of Distinguished Professor. These appointments are initiated by the DEN with the concurrence of the Chair of the relevant department. The individual will be eligible to apply for a faculty position within the traditional academic hierarchy following completion of their term in uniformed service.

6.3.3.3 The prefix Distinguished may be used in any SOM department for senior individuals who have previously held professorial rank in other universities or institutions of higher learning. Such appointments are initiated by the Department Chair, require review by the CAPT and approval by the DEN. These appointments are biannual but renewable.

6.3.4 The prefix VISITING may be used with the academic titles Professor, Associate Professor or Assistant Professor for the individual appointed for a specific period of

time to compliment the scholarly activities or continuing education programs of the USUHS or affiliated medical institutions.

6.3.5 The prefix EMERITUS may be used only for retired faculty who have held the rank of full Professor and have rendered long and distinguished service to the USUHS SOM. Nominations for Emeritus Professor will be made by the DEN and require the recommendation of the BOR and the approval of the President, USUHS.

6.5 Senior Lecturer:

This rank is used for non-billeted faculty who contribute sporadically or occasionally to the teaching or other academic programs of the SOM and whose rank or position merits an appointment, although they may have had limited or no prior experience as university faculty. These appointments are initiated by the DEN and require a recommendation of the BOR and approval by the President, USUHS.

7. QUALIFICATIONS FOR FACULTY MEMBERSHIP

DEFINITIONS AND CRITERIA

7.1 Scholarly Achievement;

The SOM recognizes the following four types of scholarship as adapted and modified from concepts developed by Ernest L.Boyer h. Criteria for the evaluation of these areas of scholarship are provided in Attachment 2 of this Enclosure.

The scholarship of discovery is original, disciplined research which expands or challenges knowledge. It encompasses the pursuit of phenomena and observations which results in the generation of new knowledge. The knowledge provided by the scholarship of discovery is assimilated and interpreted through the scholarship of integration and is shared through the scholarships of teaching and application.

The scholarship of integration encourages innovative thinking which combines and connects various disciplines through the process of creative synthesis or analysis that seeks to interpret, draw together, and bring new insight to bear on original research. It provides meaning to isolated facts, and illuminates data, by putting them in perspective and fitting them into larger intellectual patterns. It requires innovative thinking which integrates knowledge from various fields, bringing different perspectives to bear on central themes.

The scholarship of teaching communicates understanding. It challenges, extends, and transforms the knowledge of discovery into something students comprehend. As a scholarly enterprise the creativity of teaching includes the development of innovative pedagogical practices and course materials, and aims to encourage independent learning and critical thinking. Scholarly teaching requires enthusiastic intellectually engaged faculty who are well- informed about the latest advances in their disciplines.

The scholarship of application refers to the responsible implementation of knowledge gained from the other three scholarships. Application is a scholarly engagement with society, building~ bridges between theory and practice by applying knowledge to practical problems. It encompasses professional service including clinical activities. The activity of application is dynamically related to the other scholarships; it is directly tied to one's special field of knowledge and can itself give rise to new intellectual understandings.

7.2 Peer Review of Scholarly Activity:

For the purpose of this Instruction, the peers of the faculty candidate will be the community of scholars and professionals in the discipline, field of study, or activity of which the candidate is a member.

7.2.1 Actions and activities that denote peer recognition of scholarly achievement include, but are not limited to:

- Dissemination of the results of scholarly activities, that may take the form of but are not limited to:
  - original manuscripts,
  - review articles,
  - case reports,
  - authorship of books, and book chapters,
  - principal authorship or significant contribution to the contents of original position papers,
  - field manuals,
  - clinical practice guidelines, or other military or public health related policy and/or procedure materials that undergoes peer review before release or implementation,
  - submission and approval of patent applications,
  - institutional utilization of educational and curricular materials,
  - presentations at meetings (local, regional, national, international or the federal or military equivalent),
  - writing educational or testing materials for national societies or organizations, and
  - publications in peer-reviewed journals of other than original research (e.g., invited papers or review articles);
- The successful acquisition of funding for scholarly activities;
- Selection and service on study sections, professional society committees, research review boards, Institutional Review Boards, federal committees or advisory groups, editorial boards, or as a reviewer for peer reviewed journals;
- Institutional or departmental awards for excellence in teaching. mentoring, research, or clinical service;
- Selection to serve as a military specialty consultant;
- Selection as a teaching chief, residency/program director, or director of educational programs;
- The award of a performance based uniformed service or DoD honor or medal;
- Election to learned academies and other recognition such as institutional, professional society, or organizational awards, prizes and honorary degrees; and
- Other expressions (creative works) of peer recognized creativity or innovation.

7.3 Teaching (Attachment 2):

The Scholarship of Teaching is an integral part of SOM faculty responsibility as all SOM faculty are expected to contribute to the teaching mission of the institution.

There are three levels of teaching performance and contributions that are recognized.
Level One: The individual classroom; departmental teaching contributions.

Level Two: The USUHS as a whole (affiliated teaching and research sites); institutional teaching contributions.

Level Three: Disseminated and well recognized contributions to teaching; the faculty member's contributions beyond the parent institution.

7.3.1 Information on teaching available for review related to educational activity and

effort include, but are not limited to:

- Peer and student evaluations assessing but not limited to: knowledge of the subject, being up to date, preparedness, clarity of presentation, ability to answer questions, availability and attitude to students. Additional evidence will be the ability to attract students to electives and residents and fellows to graduate education programs;
- Courses taught including documentation of time commitment;
- Teaching responsibilities including documentation of specific activities and if in position basis a leadership for selection;
- The breadth and variety of teaching assignments including but not limited to: time devoted to one-on-one or small group teaching; involvement in multi-disciplinary teaching;
- Time spent in preparation for teaching activities;
- Individuals mentored or precepted;
- Supervision of research projects;
- Service as an advisor for students, residents or fellows;
- Participation in thesis committees;
- Editorial assistance with student or trainee papers;
- Development/revision of courses or curricular materials;
- Author- or editorship of articles, chapters, books or other educational materials;
- Development of electronic teaching materials or simulations;
- Time spent in other department~sponsored educational activities such as
- Conferences, seminars or grand rounds;
- Documented contributions to departmental, college or university committees related to education;
- Awards received for teaching;
- public service activities oriented to education; and
- courses or self-instructional activities taken to improve teaching skills.

7.4 Professional Service (Attachment 2):

Professional Service activities including clinical activities are based on professional expertise and usually denotes peer recognition. In many cases these will be considered evidence of the scholarship of application. Faculty service to the uniformed services, or other federal departments, and agencies, and involvement in professional, educational, scientific or community organizations at the local, state, national or international levels will be considered.

7.4.1 Clinical Activities

Clinical activities shall be considered an essential component for appointment and promotion of health care professionals who deliver patient care and teach in the clinical environment. It requires scholarly components through its innovative and thoughtful application of knowledge and experience to the delivery of diligent and excellent health care. It also requires the personal characteristics of honesty, compassion, dedication to patient welfare, sensitivity to the human aspects of medical care and the transmission by example of these qualities to peers and students. The SOM recognizes that the teaching of clinical knowledge, skills, and professional attitudes requires that the teacher has an ongoing involvement in patient care. This serves to assure that the teaching is relevant to actual practice and requires that the clinical teacher keeps abreast of advances in clinical care and is able to communicate these to their students. Clinical responsibilities as they relate to the aforementioned teaching responsibilities of the faculty member will be evaluated and given appropriate and careful consideration in the overall review for academic promotion.

7.5 Institutional Citizenship describes involvement in the USUHS, SOM, department, or affiliated institutional operation. (Attachment 2)

8. POLICY and PROCEDURES FOR MAKING ACADEMIC APPOINTMENTS

8.1 For President of the USUHS: The academic rank and tenure status of the President, USUHS will be determined by the standards defined in this document.

8.2 For Dean, School of Medicine:

The DEN search committee shall only recommend candidates it deems qualified for appointment with an unmodified academic rank of Professor. The tenure status of the DEN shall be determined by the standards defined in this document. The DEN shall be appointed without further academic review as a tenured Professor within the appropriate department.

8.3 For a Chair of a Department:

8.3.1 The DEN shall appoint and charge a search committee prior to making a recommendation to the BOR. The charge shall include information concerning applicable federal hiring regulations.

The search committee shall consist of at least four faculty members with no more than two member from the department whose Chair is under consideration, including at least one Department Chair. Civilian faculty must be tenured and uniformed faculty must have an appointment at the unmodified rank of Associate Professor or above. Representation from both uniformed and civilian faculty is recommended. The search committee will be chaired by a tenured Professor or uniformed Professor with an unmodified rank from a department other than the one under consideration.

The search committee shall submit its recommendations, including academic rank, to the DEN. The DEN may reject or accept the search committee's recommendations and may ask the committee to extend the search process and review additional candidates. If the selected candidate for Chair does not hold a USUHS SOM faculty appointment, the DEN will submit the individual for consideration by the CAPT with a recommendation for academic rank and tenure status.

8.3.2 The recommended academic rank and tenure status of a Department Chair shall be evaluated by the CAPT. The CAPT evaluation will be based on materials collected by the search committee and the DEN's recommendation. No appointment may be made without the CAPT approval of the academic rank and tenure status. Following a positive action by the CAPT, the DEN shall submit the nomination to the President, USUHS and the BOR for final approval.

8.4 For Professors or Associate Professors:

8.4.1 The procedures set forth in the following sources shall be followed:

- USUHS Instruction 1107e;
- The requirements of the CAPT; and
- The USUHS procedure assuring compliance with its affirmative action policies and all appropriate federal hiring practices.

8.4.2 The appointments process shall begin with the Department Chair who shall appoint and charge a departmental search/review committee of at least three faculty

members. The committee shall consist of Professors to review candidates for Professor, and Professors and Associate Professors to review candidates for Associate Professor. In those departments who do not have sufficient faculty at the appropriate rank, the DEN, with the concurrence of the Department Chair, will appoint the required number of committee members.

8.4.3 All full time billeted department faculty with ranks equivalent to or higher than the rank sought by the candidate through the proposed appointment shall receive notice from the Chair of all proposed appointments and may comment in writing prior to the submission of any recommendation from the Chair to the DEN.

8.4.4 The Department Chair shall reflect in his or her recommendation all views concerning the candidate expressed by the departmental search/review committee and other faculty, including comment on the merits of any negative opinions. No recommendation will be forwarded to the CAPT unless it is approved by the Department Chair.

The Department Chair will forward the appropriate number of required documents per USUHS Instruction 11O7A[e] to the Civilian Human Resources Directorate (CHR), who will, in turn, forward them to the CAPT. Required documents include:

- A cover letter signed by the Department Chair with recommendations concerning the appointment and/or the granting of tenure, this letter will specify the track and, if appropriate, the pathway for the faculty candidate;
- A complete curriculum vitae [Section 10.3];
- All letters of evaluation [Section 10.4];
- A complete description of the departmental search committee procedures and recommendations; and
- Any additional supporting material mandated by the CAPT procedures.

8.4.5 The CAPT will review the materials submitted by the Department Chair for academic merit and will return them to the CHR. The CAPT may ask the Chair to seek additional information regarding the candidates qualifications.

8.4.6 The CAPT shall recommend approval or disapproval of the appointment to the DEN, or may defer consideration pending additional information. The CAPT will provide the DEN with a statement concerning the basis for a disapproval or deferral decision.

If the CAPT recommends disapproval of the appointment, and the DEN disagrees or identifies what is perceived to be a variation from SOM policy in the review process, the DEN may request reconsideration by a memorandum to the CAPT setting forth the basis of the request. The candidate's Department Chair may request reconsideration by the CAPT in a memorandum to the CAPT setting forth the basis for the request. The Department Chair will be allowed to address the CAPT following submission and review of the memorandum. The CAPT's action on reconsideration is final. The CAPT will furnish copies of the final reconsideration to the DEN.

If the CAPT recommends approval, and the DEN disagrees, the Chair of the CAPT and/or the candidate's Department Chair may request reconsideration in a memorandum to the DEN setting forth the basis of the request. The CAPT Chair and/or the Department Chair will be allowed to meet with the DEN following submission and review of the memorandum. The DEN's action on reconsideration is final.

If the CAPT recommends approval and the DEN concurs, the recommendation shall be

forwarded to BOR for consideration and then to the President, USUHS for approval.

8.4.7 The DEN shall forward recommendations for faculty appointments to the BOR. If both the CAPT and the DEN recommend approval, and the BOR disagrees, the recommendations with supporting documentation to include the negative views of the BOR shall be forwarded to the President, USUHS for action.

8.4.8 The DEN or the President, USUHS shall convey approval or the reason for disapproval of the candidate to the Department Chair. If the appointment is not approved, the Department Chair will provide the candidate with the reasons for the disapproval.

8.4.9 On Presidential approval, CHR in consultation with the Department Chair shall offer appointment to the candidate.

8.5 For Faculty Below the Rank of Associate Professor:

The DEN shall recommend appointment, without the CAPT review, to the President, USUHS and BOR all faculty below the rank of Associate Professor. These appointments will be based on the recommendations of the appropriate Department Chair following departmental review. For appointments below the associate professor level, notification of all department faculty members with ranks equivalent to or higher than the rank sought by the candidate through the proposed appointment is not required. A Department Search committee is not required for faculty appointments below the rank of Associate Professor. The Department Chair will specify in their appointment request the track and, if appropriate, the pathway for the faculty candidate.

8.6 Secondary Appointments:

A Department Chair or IP director may offer a secondary appointment with the concurrence of the Chair of the primary department. A secondary appointment in a different school within the USUHS also requires the concurrence of the Department Chair of the primary department. Requests to the primary Department Chair for such appointments must delineate the associated duties and responsibilities. Candidates proposed for secondary appointments will be processed as a primary appointment by the Department/School offering the secondary appointment. The only letters of recommendation required for a secondary appointment are from the appropriate Department Chairs and division or section heads. These letters will include the basis for the requested appointment and the details of the departmental review, including all supporting documentation. Appointments at or above the rank of Associate Professor require the CAPT action. Secondary appointments are not tenured. The academic rank of the secondary appointment will be determined by the department or school offering the appointment and may be different from the primary appointment.

9. SEARCH COMMITTEE PROCEDURES

Each search committee shall follow procedures specified in the charge to the committee. These procedures include:

- Appropriate guarantees of confidentiality;
- Steps to be followed in the recommendation process. Except in unusual circumstances, each search committee shall submit a minimum of two candidates.,
- Time projections for completing these steps;
- Examination for special qualifications required for available position;
- Consultations regarding candidates' qualifications, including faculty in the field, both within and outside the SOM, student representatives, alumni, and others knowledgeable in the area; and
- Compliance with the affirmative action policies of the USUHS.

10. PROCEDURES FOR PREPARATION OF APPOINTMENTS, PROMOTION AND TENURE DOCUMENTS

10.1 Covering Form:

A CHR form will be completed to provide information on the primary assignment of the candidate.

10.2 Department Chair's Covering Memorandum:

The Department Chair's covering memorandum is the essential part of the documentation. All aspects of an individual's career that are not represented in the curriculum vitae and bibliography must be discussed by the Department Chair in the covering memorandum to the DEN. Should the qualifications of the proposed appointee differ substantially from the general requirements, the Department Chair must carefully explain the discrepancy in the covering memorandum. The covering memorandum should include the following elements:

10.2.1 A statement of the proposed action (appointment, renewal of appointment, reappointment, promotion, and the conferral of tenure) including the tract and if appropriate the pathway of the appointment and a brief resume of the academic history of the nominee, stating the current rank and location of the individual.

10.2.2 A brief description of the departmental search process for appointments or the departmental review process for promotions. This will include documentation of the USUHS commitment to diversity and affirmative action procedures.

10.2.3 The Department Chair's memorandum should document the applicant's:
Scholarly Achievements.

Summarize the consequence of candidate's scholarly activities on departmental, institutional, university, and SOM objectives. The most important criteria for evaluating these activities for appointment or promotion is evidence of continuing, productive, independent, or leadership in collaborative, mature scholarly activities.

It is important that the Department Chair memorandum document the full range of the applicant's scholarly contributions including evidence of the scholarship of integration and application as well as the more commonly considered scholarship of discovery.

Materials filed by the department nominating a candidate for promotion to the academic ranks of Associate Professor or Professor in the tenure or non-tenure-eligible tracks will include a statement from the candidate of no more than two pages describing the thrust of the candidate's scholarly work and what the individual feels are the most important contributions. This is to be accompanied by a maximum of four reprints of representative published contributions of the candidate. In the clinician-educator pathway, for Associate Professor, submitted materials may be educational guidelines, curricular outlines, educational outcomes analysis, syllabi, course content. or other peer reviewed course or educational program related writings.

The Department Chair will include information concerning the candidate's attempts and status with regard to the acquisition of specific forms of required financial or if of a non-financial nature other types of support necessary for their scholarly activities of discovery and/or integration. If necessary to clarify this aspect of a candidate's application, the Chair will describe the types, sources, and requirements for funding unique to the candidate's field of interest.

Authorship of peer reviewed publications and creative works is considered to be an important factor in the promotion evaluation. The extent of the candidate's contribution

to the work and resulting manuscript is the principal criteria for evaluation. The situations in which there is multiple authorship of publications, the Department Chair will explain and document the independence of the candidate's contribution. Publications with "n" co-authors are rated as one nth of a publication unless evidence is provided to support a higher allocation.

The number of papers is a single element and alone does not insure promotion. Consideration will be given to the scope of effect the work has on the relevant discipline, field, mission of the USUHS, uniformed services, relevant program or project, or appropriate institution. 10.2.4 The Department Chair's memorandum should document the applicant's:

Scholarship of Teaching Contributions.

The scope and amount of teaching contribution expected of the candidate should include The number of local teaching initiatives and contact hours (seminars, lectures, clinical case conferences, grand rounds) for which the candidate was responsible. Leadership in design, organization and presentation of a course or clinical program should be documented. In addition, evidence of community and continuing medical education activities as well as participation in local, regional, national and international educational programs should be included. Documented evaluation of the quality and quantity of an individual's teaching performance is the responsibility of the Department Chair, who may seek the counsel of other faculty members, other peers, medical and graduate students and house staff. A summary of this information and a general identification of the sources shall be provided to the CAPT.

Evaluation as to whether an individual performs in a manner appropriate for appointment, renewal of appointment, reappointment or promotion is the responsibility of the Department Chair. It is the combined responsibility of the Department Chair and the individual faculty member to assure that teaching skills are appropriately evaluated, feedback provided, and that an accurate record of teaching contributions is kept. The faculty member should contribute to this process by the development and maintenance of a teaching portfolio.

The CAPT specifically recognizes that teaching activities include a wider range of responsibilities than just undergraduate medical education. The clinician candidate's role in postgraduate medical education should be described. Teaching responsibilities in the training of graduate students and postdoctoral fellows by a candidate in the basic or clinical sciences should be described.

10.2.5 The Department Chair's memorandum should document the applicant's: Professional Service.(Attachment 2)

Professional service include, but are not limited to: editorial boards, institutional review boards, society memberships, offices held, visiting professorships, service on study sections, uniformed service committees, consulting services to other institutions or government agencies, and similar activities, require documentation.

10.2.5.1 Clinical Care Activities (Attachment 2)

Particularly as they relate to SOM activities, current status of clinical privileges should be described. Evidence must be presented attesting to the clinical skills of the clinical candidate, as evidenced by respect for this competence by

current peer academic and community physicians. Clinical competence including clinical knowledge and humanistic skills should be described in supporting letters from the Department Chair, Division Chair and faculty members within the organization.

10.2.6 The Department Chair's memorandum should document the applicant's:
Institutional Citizenship

Institutional Citizenship will be assessed by reviewing the type and complexity of committee work or administrative role. Evidence of participation and documentation of substantive valuable contributions should be included. The involvement and level of responsibility of a clinical faculty member or other health care professional in the administrative activities of the candidate's hospital, health care center, uniformed service, university, and the SOM should be described. (Attachment 2)

10.3 CV and Bibliography:

The CV will include all relevant educational information including institutions attended, degrees obtained, graduate education experiences, residencies and fellowships, all professional appointments and positions, professional service activities, institutional activities, all relevant honors, awards and recognition's, professional society memberships, appropriate licensure and certification information, and academic ranks attained. The bibliography should be complete and up to date and separated into peer-reviewed and non peer-reviewed materials. Bibliographies may include items "in press" or "accepted for publication" along with a journal reference; however, items "in preparation" should not be included. The CAPT will review abstracts as indicators of productivity. Presentations will be evaluated based on type and topic.

10.4 Letters of Evaluation:

The CAPT requires documentation that the nominee is recognized by his or her professional peer group at a level commensurate with the appointment and academic rank sought. This can be accomplished by letters of evaluation from individuals who are competent to assess the candidate's scholarly activities, and professional contributions. If some of the letters of evaluation are from particularly relevant individuals (co-workers of the candidate and leaders in the field), these special features should be brought to the attention of the CAPT in the Department Chair's memorandum.

All letters of evaluation are considered to be confidential and will not be forwarded to the candidate without a due process that is designed to protect the rights of the evaluator.

The Department Chair or Division Chief, never the candidate, must request the letters of evaluation. The candidate may supply a list of suggested evaluators. A CV and bibliography should be enclosed to assist the reviewer in making his or her response. The number of letters required will vary with the individual and the type of appointment requested. The following requirements are minimum guidelines.

10.4.1 Tenure Eligible

Tenure eligible candidates considered for promotion to Associate Professor and/or a tenure promotion should have at minimum of four letters of evaluation, obtained by the Chair from recognized authorities in the candidate's special field of interest. Two of the letters should be from individuals not involved in prior training or employment of the candidate. The CAPT expects six letters from external sources for appointment or promotion to Professor. Additional letters of recommendation are encouraged. Letters must be from recognized academicians capable of evaluating the individual for the proposed appointment. A list of all individuals from whom evaluations were requested

and a copy of the letter requesting the comprehensive evaluation are to be included in the packet prepared for the CAPT. All missing responses must be noted.

10.4.2 Tenure-Ineligible

Candidates are required to have a minimum of three letters of recommendation for promotion to Associate Professor and five for Professor from individuals who are either recognized authorities in the candidate's field of interest or who have first hand knowledge as to scholarly and professional service activities of the candidate. Recommendations from service chiefs, hospital commanders, program directors, and research supervisors are encouraged. One letter is required from the individual's current immediate supervisor. Uniformed faculty must have one letter from a former clinical service chief or hospital commander.

Note: The appropriate command authority of a non-billeted faculty candidate must certify that the officer may accept a USUHS SOM faculty appointment.

10.4.2.1 Modified Title: RESEARCH

Based on the criteria and responsibilities defined in [Section 5.5.3] candidates for appointment or promotion to the academic ranks of Associate Professor or Professor are required to have a minimum of three letters of recommendation for promotion to Associate Professor and five for Professor from individuals who are either recognized authorities in the candidate's field of interest or who have first hand knowledge as to the scholarly and professional service activities of the candidate. Emphasis should be placed on evaluators who are knowledgeable of the candidate's research program, level of productivity, and professional standing in the scientific community.

10.4.2.2 Modified Title: ADJUNCT

Based on criteria defined in [Section 6.3.2] candidates considered for appointment or promotion should have a minimum of two letters of recommendation for Associate Professor and three for Professor, obtained by the Chair from authorities who can attest to the candidate's contributions and expertise in scholarly activities, clinical service, and as appropriate, administrative responsibilities and activities.

11. PROCEDURES FOR INITIAL APPOINTMENT OR RENEWAL OF APPOINTMENT IN THE TENURE-ELIGIBLE TRACK

11.1 Appointment at the Rank of Assistant Professor:

The initial appointment at the rank of Assistant Professor in the tenure-eligible track will be for three years, plus the time needed to establish an appointment expiration date of 30 June. This initial appointment is renewable one time for three additional years. The maximum probationary period for an Assistant Professor will be six years.

The tenure-eligible track probationary period begins on the actual appointment date. All deadlines for renewal and tenure actions will be based on the actual date of appointment. The Department Chair is required, not later than six months prior to 30 June of the third probationary year, to notify the faculty member and to recommend to the DEN either renewal of a second three-year probationary term or a single terminal year based on the administrative appointment date (30 June). During the probationary period, the faculty member may choose to remain in the tenure-eligible track, request to transfer to the tenure-ineligible track or leave the USUHS SOM. Transfer from the tenure-eligible track to the tenure-ineligible track will only be permitted by written agreement between the faculty member and the Department Chair, and is subject to approval or disapproval by the DEN. Transfer from tenure-

eligible track to tenure-ineligible track shall only be permitted before the fifth anniversary of the faculty member's initial appointment. A tenure-eligible track faculty member who transfers to the tenure-ineligible track is prohibited from reentering the tenure-eligible track.

A faculty member whose initial faculty appointment was in the tenure-ineligible track may apply for transfer into a tenure-eligible track position. The transfer request must be initiated by the department with the concurrence of the DEN. The request will include a recommendation as to the extent of the probationary period that has been satisfied by time spent in he tenure-ineligible track position. The request will be reviewed and must be approved by the CAPT for the transfer to occur. If the action includes a request for a promotion and/or the granting of tenure, the relevant rules and procedures described in this Enclosure will apply. University faculty holding tenure-ineligible track appointments who are not granted transfer to the tenure-eligible track may apply for an advertised tenure-eligible track position. The competitive selection and appointment process will be as described in this Instruction for a new appointment. The probationary period for the tenure-eligible track position will begin at the start of the new appointment.

A tenure-eligible track faculty member who is denied tenure at the end of the six year probationary period will be given a one year terminal appointment. The existence of an available tenure position does not afford any assurance that the probationary candidate for that position will receive tenure unless the candidate fully meets the criteria for tenure at the time of final review. Furthermore, a tenure-eligible track faculty member who is denied tenure at the end of the six year probationary period may not transfer to a tenure-ineligible track faculty position.

11.2 Appointment at the Rank of Associate Professor:

The initial appointment as Associate Professor in the tenure-eligible track will be for a term of three years plus the time needed to establish an appointment expiration date of 30 June. This appointment is not renewable.

The tenure-eligible track probationary period of three years begins on the actual appointment date. All dead lines for granting of tenure will be based on the actual date of appointment. The department is required, not later than three months prior to the end of the third probationary year, to submit its recommendations concerning the granting of tenure based on the procedures described in [Section 4]. Failure to obtain tenure will result in a terminal appointment of one ear based on the administrative appointment date of 30 June.

Initial appointment to the rank of Associate Professor for a candidate who has not previously served in an academic institution is an unusual event and must reflect the equivalence of previous professional activity, experience, achievement, responsibility and stage of professional development with the qualifications of other candidates who were successfully promoted from Assistant Professor to Associate Professor, either from within the USUHS SOM or from other universities. Considerable academic or professional experience beyond the level which would warrant an appointment as Assistant Professor must be demonstrated.

12. TERMS AND CONDITIONS OF APPOINTMENTS

12.1 The terms, conditions, and responsibilities of every appointment shall be stated in writing and shall be in compliance with the official appointment regulations of the USUHS SOM. Each appointment shall contain notice whether tenure may or may not be acquired. Each limited term appointment will have a not-to-exceed date established at the time of the appointment.

12.2 A copy of the appointment document shall be supplied to the faculty member

12.3 Any subsequent extensions or modifications of the terms and conditions of appointment shall be stated in writing with a copy given to the faculty member.

12.4 Except for tenured faculty, or unless stated otherwise in the appointment letter, the following shall apply:

- Initial appointments for tenure-track faculty will be for three years.
- Appointments for civilian faculty in the tenure-ineligible tracks will be as described in [Section 4];
- Each faculty member will be informed each year in writing of their renewal status; and
- If a member of the tenure-eligible track, the faculty member will be informed each year of their eligibility for tenure, in accordance with [Section 4].

13. POLICY and PROCEDURE FOR PROMOTIONS

The promotion process is intended to describe and reward ongoing professional growth and achievement. The scholarly achievements, professional service. institutional citizenship activities, and other professional qualifications required for specific academic ranks are set forth in this Instruction. Qualification for promotion will not be linked to uniformed title or time in rank, nor will it be limited to administrative position or length of service at any lower academic rank.

13.1 The procedures in this Instruction will apply to promotions for both primary and secondary appointments.

13.2 Promotion procedure shall begin at the Department or IP level as set forth in [Section 8.4].

13.2.1 The Department Chair or IP Director must review all individuals eligible for promotion annually.

13.2.2 The Department Chair or IP Director shall initiate promotions and shall prepare and forward the promotion documentation.

13.3 A departmental or IP review committee of at least three faculty members shall consider faculty presented by the Department Chair or IP Director as candidates for promotion. The Chair or Director shall appoint a review committee consisting of Professors to review candidates for promotion to the professorial rank and Professors and Associate Professors to review candidates for promotion to the rank of Associate Professor. In those departments who do not have sufficient faculty at the appropriate rank, the DEN, with the concurrence of the Department Chair, will appoint the required number of committee members.

13.3.1 The review committee is advisory to the Department Chair or IP Director.

13.3.2 The review committee shall consider the qualifications described in [Section 7] and Attachments I and 2.

13.3.3 The review committee shall consider the opinions of junior faculty members and, when appropriate, residents and students.

13.3.4 The review committee recommendations shall be based on the attainment of qualifications and not upon length of service or rank, although length of service/rank may be considered.

13.3.5 The IP Director may consider faculty for promotion to a higher rank only after such promotion has occurred in the primary department.

13.4 All full time billeted faculty with ranks equivalent to or higher than the rank sought by the candidate, through the promotion, may receive notice from the chair and may be requested to comment in writing.

13.5 The Department Chair will forward the review committee's recommendation along with his or her

own recommendations and all supporting data.

13.5.1 The Department Chair shall note in his or her recommendation all views concerning the candidate and will comment on the merits of the negative views.

13.5.2 After a positive decision by the Department Chair , he/she will submit the credentials as set forth in [Section 10] of each promotion-eligible faculty member to the CAPT for review. For the CAPT, the DEN, the President, USUHS, and BOR actions see [Sections 4.4 to 4.7].

13.5.3 After a negative decision at the department level, the Department Chair will prepare a memorandum for the record containing material comparable to that required by the CAPT in [Section 10]. The memorandum shall be submitted to the CHR with a copy provided to the faculty member.

13.6 Tenure Level Promotion: When promotion involves a tenure decision the additional procedures set forth in [Section 4] shall apply.

13.7 The Department Chair shall notify the faculty member in writing of the promotion decision or if the candidate is required to provide additional information. For tenure eligible faculty, the Department Chair shall notify the candidate in writing of the tenure decision. If tenure is denied to a candidate who has served on the faculty for six consecutive years as Assistant Professor or three consecutive years as Associate Professor, the Department Chair shall advise him or her in writing that the appointment will terminate at the end of the succeeding year.

14. PERFORMANCE REVIEW

14.1 The Department Chair of each department must evaluate annually the performance of each billeted faculty member regardless of tenure status and provide the faculty member with a written assessment. The Chair shall use the annual review to provide counsel and guidance in faculty career development.

The Department Chair of each department will evaluate each non-billeted faculty member at an interval based on the established term of the appointment but not to exceed three years. This review is required prior to the renewal of an appointment. The Department Chair shall use the review to provide counsel and guidance in faculty career development.

14.2 Faculty Responsibility

14.2.1 Billeted faculty members are responsible to the SOM Department Chairs and the DEN with respect to participation in research, educational, institutional citizenship, professional service, and patient care activities of the USUHS academic program. Faculty providing clinical services are concurrently responsible to the uniformed medical departments and medical or research center/activity commanders for such activities performed in facilities under their supervision.

14.2.2 Non-billeted faculty are responsible for their USUHS SOM related activities to the SOM Department Chairs and the DEN.

14.2.3 All duly appointed faculty members, regardless of their specific academic ranks, will be expected to participate in the USUHS and SOM academic activities.

14.2.4 Faculty are required to report their appointment related activities to their Department Chair in a timely fashion to allow evaluation.

14.3 Pending the development of the appropriate criteria and process, a comprehensive periodic

evaluation of all tenured and full time (billeted) non-tenure-eligible track faculty will be performed every three years (except in rare circumstances such as overlap with an approved sabbatical or leave, promotion, or review for appointment to a Department Chair or in the case of administrators with academic appointments who are subject to a similar review under other policies or procedures). The requirement of periodic review does not imply that individuals with unsatisfactory annual evaluations may not be subject to further review and/or appropriate administrative action.

14.4 The components of the faculty member's annual military fitness report and/or officer's efficiency report that documents a review of activities defined in this Instruction may constitute part of the academic review.

14.5 The material compiled in the annual reviews may be considered in the department s preparation of recommendations for acquisition of tenure, promotions, and renewal of appointment decisions.

> 14.5.1 If the Department Chair determines that based on a change in duty assignment [Section 1.3], or the annual or periodic review and in accordance with the responsibilities as defined in [Section 6.3] that an academic title should have a modifier added or removed, the Chair will submit this recommendation to the CAPT for consideration. Only following approval by the CAPT and the DEN may this action be taken.

14.6 The performance of each Department Chair, Associate, and Assistant Dean, will be evaluated annually, with a comprehensive periodic review to occur every three years. The DEN will provide the individual with a written assessment and specific recommendations based on the review.

14.7 The annual and periodic performance evaluations defined above shall be conducted utilizing the USUHS SOM defined procedures and guidelines.

[USU Home] | [Disclaimer] | [Appointments, Promotion and Tenure of Faculty Page]

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