

**STANDARD OPERATING PROCEDURES
FOR
APPOINTMENT, PROMOTION AND TENURE COMMITTEE**

THE UNIVERSITY OF TEXAS SCHOOL OF ALLIED HEALTH SCIENCES AT GALVESTON

I. STATEMENT OF PHILOSOPHY

A variety of functions performed by faculty members contribute to the excellence of an academic community. The faculty of the UT School of Allied Health Sciences at Galveston (SAHS) collectively endorse the "duties of a member of the teaching staff" outlined by the Board of Regents: teaching in the classroom, laboratory, seminar, clinic, or individual tutorials; research that takes the form of investigating, discovering, and creating; administrative service that includes departmental initiatives and the performance of tasks and committee work auxiliary to teaching and research; and service that influences citizens of the department, the university, the profession, and the community.

The establishment and maintenance of faculty effectiveness at the School builds on a process of peer review using criteria established, clearly defined, and approved by the faculty. The review process demands that the members of the Appointment, Promotion, and Tenure Committee act in a manner that reflects their commitment to confidentiality, objectivity, consistency, fairness, and the recognition of the diversity of the faculty.

II. PURPOSE

The Appointment Promotion and Tenure (APT) Committee shall evaluate the credentials, qualifications, and effectiveness of (1) individuals recommended for appointment or promotion to the ranks of associate professor and professor, and (2) individuals recommended for tenure¹. The findings of such review shall be reported to the dean.

III. GENERAL CONSIDERATIONS

Procedures for appointment, promotion, tenure and termination shall be consistent with the *Regents Rules and Regulations*, Part J, Chapter II, Section 1.8 and Section 6.

UT system rules and regulations:

(<http://www.utsystem.edu/bor/rules.htm>)

UT system rules and regulations for tenure:

(<http://www.utsystem.edu/bor/rules/30000Series/31007.pdf>)

UTMB Handbook of operating procedures

http://www.utmb.edu/Policies_And_Procedures/Faculty_Related/PNP_004933

¹ Recommendations for appointment to the tenure track ranks of instructor and assistant professor, and promotion to assistant professor, are done by departmental chairpersons.

1 The primary purpose of The University of Texas School of Allied Health Sciences at Galveston is to
2 provide educational programs of excellence in allied health. Allied health education is comprised
3 of two major components - academic education and clinical education. The quality of education
4 depends not only on scholarship of the individual faculty, but on maintenance of professional
5 competence as well. Recognizing this and the diversity and complexity of the various allied health
6 programs, each faculty member will be judged within the context of his/her responsibilities. These
7 responsibilities are to be agreed upon by that faculty member and his/her immediate supervisor;
8 the agreement may be revised as the needs of the individual, department, or institution becomes
9 evident. Whereas priority will be placed on teaching, scholarly, and service activities, emphasis
10 will focus on the effectiveness, excellence, and productivity of the individual in these areas. The
11 faculty member in consultation with his/her immediate supervisor will determine the appropriate
12 degree of involvement in each area.

13

14 After initial appointment, promotion and tenure constitute distinct and separate career steps.
15 Neither is automatic, but each based on merit and achievement determined according to the
16 criteria stated in the documents *Guidelines for Promotion and Tenure* and *Guidelines for*
17 *Appointment*.

18 http://www.sahs.utmb.edu/faculty_handbook/guidelines_for_appointment_promotion_tenure.pdf

19 The criteria are general statements of the school's expectations and they identify activities
20 indicative of achievement in teaching, scholarly, and service activities.

21

22 **IV. CONFIDENTIALITY AND CONFLICT OF INTEREST**

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24 A. The material reviewed by the committee members is of a highly personal nature;
25 therefore the faculty charges this committee and its individual members with the
26 responsibility of maintaining strict confidentiality. All materials will be treated in a
27 confidential manner.

28

29 B. Committee members with a vested interest in a recommendation and/or members of the
30 applicant's department, shall absent themselves during consideration and voting on a
31 recommendation.

32

33 C. All materials submitted by an applicant shall be securely maintained during the review
34 process.

35

36 D. Any copies or abstracts of such materials shall be destroyed at the close of committee
37 deliberations.

38

39 E. All materials submitted by an applicant shall be returned intact to the individual at the
40 close of committee deliberations.

41

42 F. Records of committee recommendations and correspondence are maintained in a locked
43 file by the committee secretary.

44

45 G. Access to committee records by individuals outside the committee shall require the
46 Dean's approval, except that faculty members have the right to view the contents of their
47 own APT file, maintained by the committee secretary.

48

1 **V. COMPOSITION AND SELECTION OF APPOINTMENT, PROMOTION & TENURE**
2 **COMMITTEE**
3

4 **A. Composition.** This Committee shall be composed of five members elected by the faculty.
5 Four members will be tenured and one non-tenured (tenure track), with a maximum of
6 two members from any one department or division being allowed to serve a term of three
7 years. A member cannot serve during the year in which he/she is being considered for
8 promotion, tenure, or tenure review.

9 **B. Selection of committee chairperson and chair-elect.** During its first meeting of the
10 academic year, the committee shall elect a chair-elect from its members for a term of one
11 year. The Chair-elect (not an officer position) starts Sept 1 to work closely with the Chair
12 during this one year term. The Chair-elect from the previous year automatically moves to
13 the committee Chair position (an officer position), and the term of office starts Sept. 1. An
14 individual may serve no more than two consecutive one-year terms as an officer. The
15 chair and chair-elect should be tenured members unless there are extenuating
16 circumstances.

17 **C. Conflict of interest**

18 Committee members with a vested interest in a recommendation and/or members of
19 the faculty member's department shall recuse themselves during consideration of and
20 voting on a recommendation.
21

22 **D. Term of Office and Replacement of Committee Members**
23

24 1. Selection
25

26 a. The five committee member(s) will be elected by the faculty at large.
27

28 2. Term of Office
29

30 a. The term of office for committee members will be for a period of three years.
31

32 b. Members may not serve consecutive terms on the committee. After a year off
33 the committee, a faculty member may stand for election or be appointed by the
34 Dean.
35

36 3. Replacement of Resigned Members
37

38 If the vacancy will exist for more than six months, a special election may be held.
39
40

41 **D. Removal of Committee Members.**
42

43 1. If a member of the committee is concerned that another member is displaying
44 behaviors consistent with inadequacy, incompetence, and/or other forms of
45 impropriety then he/she may request the APT Chair to call a meeting to review and
46 discuss the issue.
47

- 1 2. The committee member who expressed the original concern must provide the
2 necessary evidence - not hearsay or that which deals with personality differences.
3 The committee member must ask the APT Chair to activate the process, and submit
4 appropriate evidence. The APT Chair convenes the APT Committee to discuss the
5 merits of the charges, initially in the absence of the member in question, who later is
6 given the opportunity to join the meeting and explain this/her position.
7
- 8 3. A majority vote of the APT Committee membership in attendance (a quorum must be
9 present) is required to remove the member in question. The concerned member may
10 appeal to the dean for further review.
11

12 **VI. MEETINGS**

13 **A. SCHEDULED MEETINGS**

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16
17 In October the chair will develop a schedule of meetings for the academic year to
18 deliberate the candidates for promotion, tenure, and tenure review.
19

20 At the beginning of each deliberation, the committee chair will read the appropriate
21 criteria for promotion, tenure or tenure review (TR). Members and guests will be
22 reminded of the confidentiality of the committee's deliberations and decisions, and that all
23 related documents are to be shredded at the close of the deliberations.
24

25 **B. CALLED MEETINGS**

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27 The chair, or in his/her absence the chair-elect, may call other meetings as necessary.
28

29 **C. QUORUM**

30
31 For promotion and tenure deliberations, a quorum exists when three committee members
32 are present. At least two of those present must be tenured members.
33

34 For TR deliberations, at least half (2) of the committee's tenured members should be
35 present.
36

37 **D. ATTENDANCE**

38
39 Only committee members and invited guests may attend scheduled or called meetings.
40

41 **E. VOTING**

42
43 For promotion and tenure deliberations, each committee member present has one vote.
44 No member may vote in absentia. Voting on APT recommendations is by written ballot.
45 In the event of a tie vote, deliberations will resume followed by a second vote. If the
46 second vote also results in a tie, the recommendation will go to the Dean as a split vote.
47

1 For TR deliberations, only tenured committee members will participate in the vote. The
2 exact vote including abstentions will be recorded along with the number of voting and
3 nonvoting members present during the review and discussion.

4 5 **F. MINUTES**

6
7 The APT Committee will not keep minutes of its meetings. It will, however, keep records
8 of its recommendations and files on each person appointed. These records are kept in a
9 locked file cabinet maintained by the committee secretary. Also, the APT chairperson
10 has a copy of the recommendations.

11 12 13 14 **G. CHAIRING OF MEETINGS**

15
16 The Chair or Chair-elect will preside at meetings. In the absence of both the Chair and
17 Chair-elect, or due to a conflict of interest, the Chair will appoint one of the members to
18 chair the meeting.

19 20 **H. RECOMMENDATION LETTERS**

21
22 For promotion and tenure recommendations, the Chair or Chair's designee will write the
23 letter, including the votes for and against the recommendation, and a summary of the
24 strengths and weaknesses of the candidate as viewed by the committee. The letter will
25 be revised as needed by the committee members involved in that deliberation. The
26 revised letter will be forwarded to the Dean by January 15.

27
28 For TR recommendations, the APT committee evaluation and vote will be forwarded to
29 the PTR committee and will be a part of the final documentation submitted to the Dean.
30 The letters should be forwarded to the TR committee by November 30.

31 32 **VII. APPEAL MECHANISM FOR PROMOTION AND TENURE DECISIONS**

33
34 An individual may appeal a negative decision by the Dean. The first step would be for the
35 individual to request a reconsideration hearing from the Dean and APT committee. This
36 reconsideration hearing should include a review of the original proposal, documentation of
37 just cause for reconsideration and additional information as provided by the faculty member.
38 The findings of the Dean and APT committee will be made available to the component
39 chairperson and the faculty member concerned. Further appeal of the action taken should
40 follow the process outlined in part 1, Chapter 3, Section 6 of the *Regent's Rules and*
41 *Regulations* of the UT System or by seeking advice from the Office of Affirmative Action.
42 http://www.utmb.edu/Policies_And_Procedures/Faculty_Related/PNP_004935
43

44 **VIII. PROCEDURES AND CRITERIA FOR APPOINTMENT**

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46 This section is found in the separate document SAHS *Guidelines for Appointment*.

47 48 **IX. PROCEDURES AND CRITERIA FOR PROMOTION WITHIN THE FACULTY**

1
2 This section is found in the separate document SAHS *Guidelines for Promotion/Tenure*.

3
4 **X. PROCEDURES AND CRITERIA FOR TENURE WITHIN THE FACULTY**

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6 Tenure denotes a status of continuing employment as a member of the Faculty of the School
7 of Allied Health Sciences. Tenure may be granted only to those faculty in the ranks of
8 Assistant Professor, Associate Professor, and Professor. Tenure is not automatic at any rank
9 and is considered separately from promotion.

10
11 The procedure and criteria for tenure are presented in the separate document SAHS
12 *Guidelines for Promotion/Tenure*.

13
14 **XI. PROCEDURES AND CRITERIA FOR TENURE REVIEW WITHIN THE FACULTY**

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16 The Tenure Review Committee (TRC) notifies tenured faculty designated for review 6 months
17 prior to review. Materials are due to the APT committee by September 1. If desired, the
18 faculty member also may provide an oral summary of his/her materials to the APT committee.
19 APT forwards its recommendations, vote, and faculty member's materials to TRC by
20 November 30.

21
22 a. All materials submitted by a faculty member for the purpose of tenure or promotion review
23 will be reviewed by the APT no matter the recommendation of the DACTAP Committee.

24
25 b. The APT review of every individual will be conducted separately from &
26 independently of the reviews by the PTR or the review of the DACTAP Committee.

27
28
29 c. Post Tenure Review: To fulfill the criteria of independent reviews, the review findings
30 by the APT committee will be forwarded to the PTR committee, but will remain sealed until
31 both committees have completed their independent review.

32
33 d. In case of incongruence, the PTR Committee will meet with the APT Committee
34 and attempt to resolve the incongruence. Letters will be sent that discuss the
35 incongruence if no resolve is accomplished. Should the two committees not reach
36 agreement in an expeditious fashion, the findings of the PTR Committee will be
37 forwarded to the Dean noting how the APT Committee's findings differed.

38
39 **COORDINATION OF REVIEW OF AN INDIVIDUAL FOR PROMOTION TO ASSOCIATE**
40 **PROFESSOR OR PROFESSOR AND REVIEW OF SAME FOR TENURE OF THE**
41 **FACULTY MEMBER.**

42
43 a. Review of an individual for promotion to associate professor or professor will be
44 conducted separately from review for tenure though a faculty member may apply for both
45 promotion and tenure at the same time and submit only one folder.

46
47 b. In those instances where a **tenured faculty member applies for promotion to**
associate professor or to professor the review will follow the same in-depth review

1 **procedure.**
2
3

4 **XII. PROCEDURES AND CRITERIA FOR TRANSFERS BETWEEN NON-TENURE AND**
5 **TENURE TRACK**
6

7 **A. REQUEST**
8

9 A faculty member has the opportunity to request a transfer from non-tenure track to
10 tenure track or from tenure to non-tenure track at any time during an annual appointment
11 period. This written request may be made only one time but may not be made after the
12 faculty member has received five annual appointments.
13

14 **B. TRANSFER FROM NON-TENURE TO TENURE TRACK**
15

16 1. Criteria
17

18 Criteria which support a transfer from non-tenure to tenure track include, but are not
19 limited to, completion of an advanced degree in a field relevant to allied health,
20 demonstration of the ability to successfully complete scholarly activities, the ability to
21 obtain grants, and/or the need for a person with a particular training and experience.
22

23 2. Folder of Transmittal
24

25 The recommendation of the individual's immediate supervisor will be a required part of
26 the folder transmitted to the APT Committee. The request and completed folder will be forwarded
27 to the APT Committee at the same point in the academic year when requests for promotion and
28 tenure are made. The committee's recommendation would then be forwarded to the dean and
29 submitted to the President for approval. The folder submitted will include the same information as
30 requested for promotion/tenure and as described in the *Guidelines for Promotion and Tenure*.3.
31

32 The transfer from non-tenure to tenure track may occur through one of two pathways.
33

34 a. When a tenure track position becomes vacant, the individual may apply competitively
35 for the tenure track position along with all other applicants. If the individual in the
36 non-tenure track is selected for the tenure track position, the Appointment, Promotion
37 and Tenure Committee's role will be limited to making a recommendation to the dean
38 as to the rank to be given the individual in the event the President approves transfer
39 to the tenure track rank.
40

41 b. When an individual requests to be transferred from a non-tenure to a tenure track position
42 in the absence of an unfilled tenure track position, the following steps must be
43 completed:
44

45 i. If the departmental chair concurs with this request, he/she must seek approval to
46 have the position the individual fills changed to a tenure track position when the
47 next budget cycle is under consideration.
48

- 1 ii. If the departmental chair concurs with the request, and the Dean and the
2 President approve, the individual must submit his/her folder to the Appointment,
3 Promotion, and Tenure Committee for review at the next cycle during which the
4 committee considers requests for promotion and tenure. The Appointment,
5 Promotion, and Tenure Committee will submit recommendations to the dean as
6 to the rank to be given the individual. A recommendation from the departmental
7 chair supporting the transfer and suggested rank will be required in order to have
8 the folder reviewed by the Appointment, Promotion, and Tenure Committee.
9
- 10 iii. Both the recommendations concerning the request to re-designate the position
11 as a tenure track position and the request to transfer the individual to a tenure
12 track position must be forwarded as recommendations to the Dean and
13 submitted to the President for approval.
14
- 15 iv. Examples of conditions of transfer from non-tenure track to tenure track:
16
- 17 - An individual could start out on non-tenure track with little experience and
18 no master's, and subsequently complete the master's and demonstrate a
19 potential to be a productive tenure track faculty. Some of the institution's
20 resources will have gone into assisting the individual to reach that point. If a
21 mechanism is not provided to permit a transfer to tenure track, the individual
22 would have no choice but to move to another institution, if he/she intends to
23 pursue an academic career. This would represent both a loss of the School
24 of Allied Health Sciences' investment in the individual, as well as a loss in
25 potential growth for the School of Allied Health Sciences.
26
 - 27 - Similarly, an individual with a master's degree could be appointed as a
28 non-tenure track faculty, and demonstrate an initial ability to successfully
29 conduct scholarly activities, etc.
30

31 **C. TRANSFER FROM TENURE TO NON-TENURE TRACK.**

32
33 Avenue of Transfer - The transfer from tenure track to non-tenure track may occur through
34 one of two pathways.

- 35
- 36 1. An individual in a tenure track position may competitively apply for a non-tenure track
37 position as a vacancy occurs.
38
 - 39 2. In those cases where the individual requests a transfer from tenure track to non-tenure
40 track, in the absence of an unfilled non-tenure track position the following steps must be
41 completed:
42
 - 43 a. The departmental chair must request the re-designation of the position in the next
44 budget cycle.
45
 - 46 b. An individual in a tenure track position may competitively apply for a non-tenure track
47 position as a vacancy occurs.
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- c. The approval of the Dean or his/her designee and the President must be obtained before the change can occur. The individual's folder must be submitted to the Appointment, Promotion, and Tenure Committee for recommendation of rank. This recommendation is then forwarded to the Dean.