

**THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON  
SCHOOL OF HEALTH PROFESSIONS**

**GUIDELINES FOR APPOINTMENT, PROMOTION AND TENURE**

**I. STATEMENT OF PHILOSOPHY**

A variety of functions performed by faculty members contributes to the excellence of an academic community. The faculty of the University of Texas Medical Branch (UTMB) School of Health Professions (SHP) at Galveston 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 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 (see UT System Board of Regents, *Rules and Regulations*, Part One, Chapter III, Section 8.1 <http://www.utsystem.edu/bor/rules/30000Series/31004.pdf>)

The establishment and maintenance of faculty effectiveness at the School relies on a process of peer review using criteria established and clearly defined 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 recognition of the diversity of the faculty. Having been elected by the faculty at large, the committee is entrusted to act in accordance with these guidelines and without undue influence from outside parties.

**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 or professor, and (2) individuals recommended for tenure. The findings of such reviews shall be reported to the Dean. The APT Committee does not evaluate faculty members for appointment or promotion to instructor or assistant professor. Departmental chairs will evaluate those faculty members and send their recommendations to the Dean.

**III. DEFINITIONS**

**A. Full Time Academic Service.**

A member of the faculty of the School of Health Professions appointed to a tenure-track position is considered to be in full-time academic service if salaried 100% by UTMB components or affiliates, of which at least 50% is by the SHP, and if contributing substantially and in a direct capacity to the mission of the school as determined by the responsible department chair and Dean. Periods of full-time academic service required for promotion/tenure must be fulfilled by September 1 of the year in which application for promotion/tenure is made.

## B. Major faculty Responsibilities

The major responsibilities of the faculty are teaching and the scholarship of teaching, the scholarship of discovery and integration, and the application of professional expertise. The definitions of these responsibilities are outlined below. Acceptable activities may also include those not traditionally defined as responsibilities but assigned by the designated supervisor. The faculty member must realize that appointment, promotion, and tenure mark milestones in a career. It is the faculty member's responsibility to plan his/her career to ensure individual as well as institutional growth. The supervisor shares responsibility for guiding a faculty member's career development.

### 1. Teaching and the Scholarship of Teaching

Teaching is central to the mission of the university and an essential consideration for appointment or promotion and to the granting of tenure. It is assumed that all faculty on the tenure track will be involved in teaching. Teaching may include activities in the preparation, delivery, and administration of educational activities conducted in academic venues or on line. The variety of teaching responsibilities reflects the diversity of teaching formats and courses required by the variety of disciplines, levels of study, and departments in the School. Original course designs, innovative course materials, and documented support of teaching effectiveness are considered evidence of the scholarship of teaching. Examining the effectiveness of a new teaching format or method and contributing to the body of knowledge in education is the highest level of educational effort. This latter activity also relates to the scholarship of discovery.

### 2. Scholarship of Discovery and Integration:

The scholarship of discovery may include basic or applied research and use quantitative or qualitative methodology. Original research generates new information or poses questions related to existing scientific knowledge. A scholar's activities may involve collaborative studies that synthesize and integrate bodies of knowledge. Integration involves the combining of facts with the realization that much of the contemporary research effort demands interdisciplinary activities. Historical and philosophical investigations, including literature reviews that derive new meaning from existing sources are considered part of the scholarship of integration.

### 3. Application of Professional Expertise:

The scholarship of application involves the utilization of professional expertise in the performance of activities that benefit the individual, university, and community. These activities include, but are not limited to, providing professional expertise or clinical service, assuming leadership positions, or serving on editorial or grant review panels. The scholar can contribute expertise to local, state, national, or international organizations, professional associations, governmental agencies, public and private entities, and civic groups. The scholarship of application rests on the idea that the faculty member serves the interests of the larger community in the application of a specific area of expertise. The execution of administrative responsibilities that

enhance and contribute to the governance and operations of the department, school, and university that are necessary and expected within any academic community are not considered an application of professional expertise and thus do not play a significant role in the appointment, promotion or tenure decision.

#### **IV. CRITERIA FOR APPOINTMENT/PROMOTION/TENURE**

For all favorable appointment, promotion, and tenure recommendations, faculty must demonstrate scholarly activity in teaching, research, or application over a several-year period. Faculty need not exhibit simultaneous productivity in all three areas. Varying degrees of accomplishment among the faculty mirror the expectation that faculty members will show growth in creativity, productivity, and responsibility as they advance through the ranks. Increasing degrees of strength are reflected in the descriptive criteria associated with rank: competence for the assistant professor, mastery for associate professor, leadership for professor. The descriptive criterion of commitment to academic excellence, application of professional expertise, and continued scholarship associates with the award of tenure. The criteria for appointment, promotion, and tenure must be met at the time of application, but the manner in which they are met rests solely with the faculty member.

Specific criteria and examples of evidence that may illustrate productivity are presented in Sections A and B of this document. Every faculty member on the tenure track is expected to have documented evidence of productivity in written venues such as peer-reviewed publications, review articles, textbooks, and chapters. A faculty member is not limited to the activities listed. The activities illustrating productivity are not presented in order of importance, nor is there a requirement that each faculty member perform all of them. It is the faculty member's responsibility to ensure that every significant activity submitted for consideration is documented and evaluated appropriately.

Given the latitude that faculty have in determining which areas of responsibility shall constitute their areas of strength, and given the varying needs within individual departments, it is not possible to enumerate the specific activities that a faculty member should complete. Any individual's presentation of a case for promotion/tenure will reflect the divergent manner in which faculty may demonstrate competence, mastery, leadership, or commitment.

The faculty member's completed portfolio includes 1) the supervisor's letter of support, 2) the faculty member's summary statement and curriculum vitae, 3) other supporting materials, and 4) the letters written by external reviewers. Each of these items will be evaluated by the APT Committee. The quality of the candidate's scholarship will be considered as will the quantity of work submitted for review. The summaries provided by the departmental chair and the candidate and the external reviewers' statements will provide the basis for the evaluation. The dossier thus

presents both qualitative and quantitative data about a faculty member's level of productivity.

Decisions for appointment, promotion and tenure will be considered separately given that each has different evaluative criteria. Section A discusses the criteria for appointment and promotion and Section B discusses the criteria for tenure. In rare circumstances there may be exceptions to any of the criteria listed below.

#### A. **APPOINTMENT and PROMOTION**

##### **Assistant Professor**

The assistant professor is an individual who demonstrates clear commitment to an academic career and meets the criterion of competence. Individuals with a minimum of one year of postdoctoral or professional experience in their area of competence may be appointed or promoted to the rank of assistant professor. The assistant professor is an individual whose scholarly productivity is developing. The individual has demonstrated competence as an educator, researcher, or practitioner. Letters from UTMB faculty and recognized experts from other institutions should document this level of competence. In rare circumstances there may be exceptions made to any of the criteria listed below.

##### ***Criteria***

The assistant professor is an individual who:

1. Has earned a doctoral degree or a terminal degree in his or her profession.
2. Demonstrates competence in teaching and/or the scholarship of teaching.
3. Demonstrates competence in the scholarship of discovery and integration by participating in a program of research.
4. Demonstrates competence in the application of professional expertise by participating in clinical practice or engagement in departmental, school, university, professional, or community organizations.
5. Maintains current professional credentials as appropriate.

***Evidence of competence for appointment or promotion to assistant professor includes the following examples of functions:***

##### Teaching and the Scholarship of Teaching

1. Designs a state-of-the-art course that includes writing course objectives, organizing content, and evaluating students.
2. Counsels and advises students as they progress through courses.
3. Improves teaching skills by working with mentors, observing other faculty, and attending faculty development workshops.
4. Demonstrates competence in teaching as evidenced by student and peer evaluations.
5. Assists colleagues with lectures and labs.
6. Participates as a collaborator or co-investigator on training grant projects.

7. Publishes refereed journal articles on educational activities as first or contributing author.
8. Creates teaching and learning materials.

Scholarship of Discovery and Integration

1. Participates in research activities as a collaborator; serves as a co-investigator in grant proposals.
2. Presents research findings at local, regional, or national professional meetings.
3. Publishes refereed journal articles on research findings as first or contributing author.

Application of Professional Expertise

1. Practices as an expert clinician, as appropriate.
2. Actively participates on committees in the department, school, or university.
3. Actively participates in local or state professional associations.
4. Makes contributions to the community using professional/academic expertise.
5. Publishes refereed journal articles on clinical, community, or practice activities as first or contributing author.

**Associate Professor**

The associate professor is an individual who is emerging as a recognized authority in his/her area of expertise beyond the institution and meets the criterion of mastery. Scholarly productivity has reached a level of achievement deserving of peer recognition. The individual serves as a mentor for junior faculty in areas of scholarship consistent with an area of expertise. The associate professor regularly disseminates scholarship in peer-reviewed journals and at professional meetings at the national or international level. Letters from UTMB faculty and recognized experts from other institutions document this level of mastery. In rare circumstances there may be exceptions made to any of the criteria listed below.

***Criteria***

The associate professor is an individual who:

1. Demonstrates continued competence and has progressed to mastery in teaching and in the scholarship of teaching.
2. Demonstrates continued competence and has progressed to mastery in the scholarship of discovery and integration.
3. Demonstrates continued competence and has progressed to mastery in the application of professional expertise.
4. Maintains current professional credentials as appropriate.
5. Is emerging as an authority on a national or international level in his/her area of expertise.

***Evidence of mastery for appointment or promotion to associate includes the following functions***

Teaching and the Scholarship of Teaching

1. Develops, implements, and evaluates innovative teaching methods within area of expertise or across disciplines.
2. Develops, submits, and obtains funding for training grant proposals.
3. Is considered an emerging authority on teaching methods, educational evaluation methods, and curriculum development.
4. Demonstrates expert teaching as evidenced by student and peer evaluations.
5. Creates and disseminates teaching/learning materials or interdisciplinary materials.
6. Successfully guides masters, doctoral, or postdoctoral students.
7. Publishes refereed journal articles on educational activities as first or senior author.

Scholarship of Discovery and Integration

1. Is considered an emerging authority in an area of research expertise.
2. Develops, submits, and obtains funding for research grant proposals.
3. Presents research findings at national or international professional meetings.
4. Integrates research by contributing to book chapters or editing books.
5. Publishes refereed journal articles on research findings as first or senior author.

Scholarship of Application

1. Serves as peer reviewer for grants or publications.
2. Serves as chair of departmental, school, or university committees or task forces.
3. Participates in change as a departmental administrator or community leader.
4. Is recognized for excellence on a regional or national level by holding office in professional associations and chairing committees.
5. Assumes leadership roles in national or international societies.
6. Publishes refereed journal articles on clinical, community, or practice activities as first or senior author.

**Professor**

The professor is an individual who has established and sustained a record of outstanding achievement in his/her area of expertise and meets the criterion of leadership. A sustained record of publication and extramural grant support is considered evidence of productivity at the rank of professor. The professor is one who is recognized by peers for excellence as evidenced by, for example, election to editorial boards and grant review panels. The professor is often an invited or keynote speaker on topics related to an area of expertise. The professor is often requested to edit or write books in an area of expertise. The professor's scholarly activity has fully matured, leading to recognition as an authority in an area of expertise. Letters from UTMB faculty and recognized experts from other

institutions should document this level of authority and leadership. In rare circumstances there may be exceptions made to any of the criteria listed below.

**Criteria**

The professor is an individual who:

1. Is recognized as a leader in teaching and the scholarship of teaching.
2. Is recognized as a leader in the scholarship of discovery and integration.
3. Is recognized as a leader in the application of professional expertise.
4. Maintains current professional credentials, as appropriate.
5. Is established as a recognized leader and authority on a national or international level in his/her area of expertise.

**Evidence of leadership for appointment or promotion to professor includes the following functions:**

Teaching and the Scholarship of Teaching

1. Provides leadership in developing, implementing, and evaluating innovative teaching methods or curricular designs.
2. Maintains funding for training grant proposals.
3. Guides a major focus of teaching to a point that has led to recognition as an authority.
4. Sustains a record of publication in refereed journals and other sources that lead to recognition as a leader in teaching/education.

Scholarship of Discovery and Integration

1. Has established and maintained an independent research program.
2. Serves as a principal investigator for funded grant activities.
3. Provides leadership in establishing and maintaining collaborative research groups.
4. Guides a major focus of discovery and integration to a point that has led to recognition as an authority.
5. Sustains a record of publication in refereed journals and other sources that lead to recognition as a leader in research.

Application of Professional Expertise

1. Is recognized by peers for excellence as a leader in national or international societies or organizations by serving as officer or board member.
2. Provides leadership for change as a departmental administrator or community leader related to areas of professional or academic expertise.
3. Is recognized as an authority in a specific area of expertise and is often consulted on clinical matters.
4. Guides a major focus of application to a point that has led to recognition as an authority.

5. Sustains a record of publication in refereed journals and other sources that has led to recognition as a leader in clinical, community, or practice activities.

## **B. TENURE**

Awarding of tenure will be based on documentation of a commitment to academic excellence and continued scholarship of teaching, scholarship of discovery and integration, or application of professional expertise. Policies for granting tenure and provisions for termination of employment of faculty members with tenure are detailed in the UT System Board of Regents, *Rules and Regulations*, Part One, Chapter III, Section 6. (<http://www.utsystem.edu/bor/rules/30000Series/31007.pdf>).

The scholar's productivity and value to the academic community, his/her professional and personal integrity, and his/her intellectual qualities are attributes that contribute to a recommendation for tenure. Tenure is recognition of the faculty member's commitment to academic excellence, application of professional expertise, and continued scholarship. As a further demonstration of commitment to UTMB and improving the quality of the institution, the faculty member's service to the department, School, and University will be an important factor in the tenure decision.

Tenure may be granted at the time of appointment to the ranks of professor, associate professor, or assistant professor. All tenure applications must be submitted for committee review. Tenure may be withheld pending a satisfactory completion of probationary service. The maximum period of probationary service at the School of Health Professions in a non-tenured status on tenure-track, at any academic rank or combination of academic ranks shall not be more than nine years. If the appointment occurs prior to September 1 of a given year (between January 1 and August 31) then years of service begin on September 1 of that year. If the initial appointment occurs after September 1 (between September 2 and December 31) then commencement of probation years of service begins on September 1 of the following year. The last time a faculty member can request tenure is November 1 after the end of his/her seventh year (penultimate year).

Persons appointed to the non-tenure track may seek appointment to the tenure track. Once appointed to the tenure track, a faculty member may move back to the non-tenure track. After this second move between tracks, no further changes in track appointment can occur. A faculty member may not move to the non-tenure track in his/her penultimate year on tenure track. No time accrued on the non-tenured track can be applied to time on the tenure track.

## **V. REVIEW OF AN INDIVIDUAL FOR PROMOTION TO ASSOCIATE PROFESSOR OR PROFESSOR AND FOR TENURE**

Whereas a faculty member may apply for both promotion and tenure at the same

time and submit only one folder, review for promotion will be conducted separately from the review for tenure.

## **VI. PROCEDURES AND CRITERIA FOR TRANSFER BETWEEN NON-TENURE AND TENURE TRACK**

### **A. REQUEST**

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

#### **B1. Moving from non-tenure track to tenure track at the assistant professor level:**

An individual faculty member requesting transfer from the non-tenure track to tenure track at the assistant professor level must submit a letter to the Department Chair including the rationale for the request and a copy of a current CV. If the chair concurs then the chair will forward the information with a letter of approval to the Dean for final consideration. *Note: For the instructor and assistant professor levels this process does not require review by the APT committee.*

#### **B2. Promotion from instructor to assistant professor on tenure track**

Faculty seeking promotion from the instructor level to assistant professor on tenure track must submit a letter to the Departmental Chair including the rationale for the request and a copy of their current CV. If the chair concurs then the chair will forward the information with a letter of approval to the Dean for final consideration.

#### **C. Moving from non-tenure track to tenure track at the associate or professor level**

Faculty who seek to move from a non-tenure track position to a tenure-track position at the associate or professor level will be evaluated by the APT criteria established for those ranks. Once appointed to the tenure track, a faculty member may request to move back to the non-tenure track –see section D below. However, after this second move between tracks, no further changes in track appointment can occur. Additionally, faculty members may not move to the non-tenure track in their penultimate year on tenure track. No time accrued on the non-tenure track can be applied to time on tenure track.

#### **D. Moving from tenure track to non-tenure track at all faculty appointment levels.**

Faculty who seek to move from a tenure-track position to a non-tenure track position at any level must submit a letter to the Departmental Chair including the rationale for the

request and a copy of a current CV. If the Departmental Chair concurs then the Chair will forward the information with the letter of approval to the Dean for final consideration.

**APT & PTR COMMITTEES RESPONSIBILITIES FOR PROMOTION AND TENURE**

Please refer to the [Timeline APT-PTR Process](#) link below for the timeline of the APT/PTR process.

[http://shp.utmb.edu/faculty\\_handbook/Timeline%20APT-PTRprocess%2006-27-2012.pdf](http://shp.utmb.edu/faculty_handbook/Timeline%20APT-PTRprocess%2006-27-2012.pdf)