

Policy for Promotion, Appointment, Tenure and Periodic Career Review in the University of Louisville School of Medicine

Introduction

The purpose of this document is to present the policies, procedures and criteria employed within the School of Medicine (the unit) for the evaluation of promotion, appointment and tenure requests and for periodic career reviews. It is understood that departments may stipulate criteria more rigorous than those addressed in this document provided they are consistent with the University of Louisville's Minimum Guidelines document, The Redbook, and the Bylaws and Rules of the School of Medicine. The contents of this unit document apply to all faculty: executive faculty and general faculty as defined in the School of Medicine Bylaws. (A member of the executive faculty of the School of Medicine holds a full-time, academic appointment in the University of Louisville with a primary appointment in the School of Medicine; or may be a part-time or gratis general faculty who has been elected to the executive faculty).

Changes to the School of Medicine Policy for Promotion, Appointment, and Tenure document and/or its appendices shall be presented for informational purposes to the Medical Council, Faculty Forum, and the School of Medicine Promotion and Tenure Committee (SOM PAT Committee). **Policy changes and changes to Appendices A and B must be approved by the Rules, Policies, and Credentials Committee, Executive Faculty, University Faculty Senate, Provost, and Board of Trustees.**

Requests for appointments and promotions to the rank of associate professor and professor (excluding gratis and emeritus actions), award of tenure, and periodic career reviews of tenured faculty must be reviewed by the SOM PAT Committee whose recommendations are forwarded to the Dean of the School of Medicine.

All Executive Faculty members shall have access to this document and, if one exists, a copy of the departmental guidelines for promotion, appointment, tenure, and periodic career review.

I. Classification of Faculty Appointments

A. Full-Time Academic Appointments

Full-time faculty appointments are those at 0.82 - 1.0 full time equivalent (FTE).

1. The requirements for appointment to a full-time faculty position in the School of Medicine usually shall include, as a minimum, an advanced, usually doctoral, degree (M.D., Ph.D., D.Sc., Ed.D. or equivalent). In disciplines where board certification is available and patient care is provided, appointments at the rank of assistant professor or above shall require board certification. For others, post-doctoral training shall be required for these ranks. Additional requirements for appointment such as board certification, possession of a license to practice medicine in Kentucky, etc. shall be stipulated in the departmental documents where applicable.
2. The appointee shall sign a contract, approved by the Board of Trustees, stipulating that the appointment is made subject to the regulations, policies, and provisions of employment at the University of Louisville including participation in the School of Medicine Professional Practice Plan.

B. Part-Time Academic Appointments

1. Part-time faculty may be appointed by contract to teach specified courses or to engage in specified instruction, research or service less than full-time for a designated period.
 - a. The requirements for appointment to a part-time faculty position in the School of Medicine shall be the same as those for full-time academic appointments. No such appointment, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent periods.
 - b. Proficiency in the areas of the annual work plan must be used as the basis for reappointment and/or contract renewal. Reviews of part-time faculty will be commensurate with the candidate's % FTE.

C. Non-tenurable Appointments

1. Temporary Appointments

Temporary appointments to the various academic ranks, which include lecturers and visiting faculty, are those made for specifically limited time periods less than one year for special purposes. In no case shall temporary appointments or renewals result in the acquisition of tenure.

2. Term Faculty Appointments

- a. All non-tenurable full-time faculty who are not "temporary" are "term". Term faculty are full-time faculty appointments without tenure for a stipulated contract period not to exceed three years. Such appointments are not probationary appointments as described in Section 4.1. of The Redbook, and no such appointments, continuation or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent terms.
- b. Term faculty may be funded through general funds, restricted funds, or clinical revenues.
- c. Term faculty shall meet the standards for appointment to the designated rank with consideration for the areas assigned in the annual work plan and shall be subject to annual and career reviews for faculty of the Unit. Term faculty may apply for promotion in rank according to the criteria in this document.
- d. Term faculty appointments may be renewed for the convenience of the University if the dean determines that the services of the incumbent are needed for the renewal term.
- e. Faculty on term appointments shall be eligible to transfer to probationary (tenure track) appointments if they were not previously on a probationary appointment. Service during the term appointment may be counted toward the probationary period if requested in writing by the department chair, endorsed by the dean, and approved by the provost at the time of appointment to the probationary track. Transfers out of the probationary appointment back into a non-tenurable status may be requested any time but must be completed prior to the time of review by the SOM PAT Committee. This is normally at the end of the fifth year of service.
- f. Rolling contracts recognize and reward the accomplishments of term faculty. Rolling contracts of a three-year duration will be available after five years of service at the University of Louisville. Rolling contracts are only available to those faculty members at the rank of associate professor or above. Rolling contracts are renewable every year for

an additional three years. Appointment on such contracts are at the discretion of the chair but must conform to fiscal limitations and be approved by the dean and provost.

D. Probationary Appointments

1. Probationary (tenure-track) appointments are appointments of full-time faculty members without tenure, distinct from those described in Section 4.1.2 of The Redbook.
 - a. No probationary appointment to the University shall extend beyond the period when tenure would normally be granted (Section 4.2.2 of The Redbook).
 - b. Transfers out of a probationary appointment into a non-tenurable appointment may be requested anytime but must be complete prior to the time that the tenure review would begin. This is normally at the end of the fifth year of service and must occur prior to review by the SOM PAT Committee. Transfers back to probationary status after that point are prohibited.
 - c. Instructors - Probationary appointments to the rank of instructor shall be for stipulated terms of one year each.

E. Tenure Appointments

1. Tenure is the right of certain full-time faculty who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or dismissal as provided in Section 4.5.3 of The Redbook.
 - a. Tenure is granted in an academic unit (Section 3.1.1 of The Redbook) in accordance with the procedures established in Section 4.2.2.H. of The Redbook.
 - b. Administrators - Administrative personnel who have acquired tenure are subject to the regulations herein on tenure and the provisions governing termination only in their capacities as faculty members in their departments.
 - c. Tenure recommendations - Recommendations concerning the award or denial of tenure shall originate in the faculty of the academic unit in which tenure is to be granted.
2. Immediate tenure on appointment
 - a. It is recommended that tenure not be granted as a condition of appointment; however, it is understood that for certain persons of exceptional merit who already have tenure in other universities, it is impractical to expect them to move to the University of Louisville without assurance of tenure. The Redbook does give the University the right to grant tenure at any stage "when an individual situation warrants such action" (Redbook 4.2.2.E.1).
 - b. For appointments at the rank of associate professor it is suggested that a minimum of one year elapse after the initial academic year of appointment or fraction thereof, before a tenure consideration is initiated.

F. Joint and Associate Appointments

1. Faculty may have additional appointments outside their primary department (their primary appointment)
 - a. Joint appointments require that faculty member's work plan include a percent effort in the joint (secondary) department and this percent effort must have equivalent associated

salary originating from the secondary department. Career reviews (mid-tenure, tenure, promotion, periodic) are done in both departments.

- b. Associate appointments do not entail salary commitments. Criteria for appointment as an associate in a department shall be stipulated by department. Examples of criteria for associate membership include contributions by associate faculty in teaching, mentoring of students, and research collaborations.

G. Emeritus Appointments

Such honorary title may be conferred upon retirement if requested by the departmental faculty and dean and approved by the provost and Board of Trustees.

H. Gratis Appointments

1. Gratis (voluntary) faculty appointments can be held at the ranks of instructor, assistant professor, associate professor and professor, prefaced by the designations of “clinical”, for clinical faculty, or “adjunct”, for basic science faculty and gratis faculty (clinical or basic science) at other institutions.
2. Gratis faculty appointments must be based in departments and are non-tenurable.
3. Gratis appointments and promotions are approved by the Dean (or designee) and do not require SOM PAT Committee review.
4. The term of the initial appointment is at the discretion of the chair, but must not exceed three years for the rank of instructor and five years for all other ranks. Reappointments may be made at the same maximum terms as initial appointments.

II. Conditions of Faculty Employment

A. Annual Work Plan

Each faculty member shall negotiate annually with the department chair a faculty work plan to be signed by both parties indicating their agreement. The annual work plan must specify the percentage of effort to be spent in teaching, research and service. Service may be further specified as community service (defined as service to the Department, School, University, Commonwealth, Region or Nation that primarily involves medical and/or basic science expertise), clinical service, administrative service, and/or service to research. The annual work plan shall specify the requirements for a faculty member’s presence at the University or University-affiliated facilities (Section 4.3.1.A of The Redbook). The faculty work plan shall describe specific goals and objectives to be achieved by the faculty member during the period covered.

1. For faculty in non-tenurable positions the faculty work plan shall be specific to the duties particular to their contract periods and shall reflect the need to demonstrate evidence of excellence in one area of the work plan (typically this is the major area, but may any other area with a 20% or higher effort, if so designated), and proficiency in all other areas of their work plan in order to satisfy the requirements for promotion. There is no required minimum percentage of effort for areas that are assigned in the faculty member’s work plan, but percentages must total 100%.
2. For probationary faculty the faculty work plan shall reflect the need to demonstrate evidence of excellence in one area of the work plan (typically this is the major area, but may any other area with a 20% or higher effort, if so designated) and proficiency in all other areas of their

work plan in order to satisfy the requirements for the award of tenure. In addition, for probationary faculty a minimum assignment of 20% research and the corresponding time away from service and/or teaching obligations is required.

3. For tenured faculty, the faculty work plan shall respect both the faculty member's need to shape his/her career and the missions of the department, School, and University. In order to accomplish this, the annual work plan shall permit individual faculty members to concentrate, at various times in their careers, on one or more of the areas of teaching, research and service. Tenured faculty are not required to have assignments in all of the areas of research, teaching, and service. There is no required minimum percentage of effort for areas that are in the faculty member's work plan but percentages must total 100%.

B. University Practice Plan

1. For full-time faculty, The Practice Plan defines the conditions under which work outside of the University (Section 4.3.3 of The Redbook) may be carried out for all full-time School of Medicine faculty.

III. Faculty Personnel Reviews

A. Annual Review

1. All part-time, term, probationary, and tenured faculty must be reviewed in writing annually by their department chair or designee. The annual review must evaluate faculty performance under the distribution of the effort indicated in the approved annual work plan (Section IV.A. of The Redbook's Minimum Guidelines for Faculty Personnel Reviews).
2. Annual work plans and reviews shall be part of all career review files. Reappointments of term faculty as well as all career reviews (annual, promotion, tenure and periodic) must be based on the annual work plan. Satisfactory annual reviews shall not in and of themselves constitute sufficient grounds for promotion, tenure, or satisfactory periodic career reviews.
3. The appeal process for annual reviews is outlined in a separate School of Medicine Policies for Annual Reviews document and is different from the grievance process of Appendix A of The Redbook.

B. Promotion and Tenure of Tenurable Faculty

1. Time Required
 - a. Each faculty member eligible for tenure must (with the exceptions listed in Article III.B.2,3, below) be evaluated by the SOM PAT Committee before the end of twelve months after five years of service applied to tenure. Evaluation for tenure in the School of Medicine shall proceed unless the faculty member resigns from the University or is subject to termination.
 - b. All probationary faculty who have had seven years of service counted as in a tenurable faculty position, if reemployed full-time without a transfer to a non-tenurable appointment, shall be granted tenure (as described in Section 4.2.2.A of The Redbook).
2. Leaves of Absence

One year spent on an officially approved leave of absence may be counted toward the seven years of full-time service necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.

3. Extension of Probationary Period

A faculty member who faces extenuating circumstances that does not require a leave of absence but results in a significant reduction in ability to perform normal duties may request an extension of the probationary period for no less than six months and no more than one year. A second extension may be granted for a second extenuating circumstance. An extension may not be granted more than two times within the probationary period of a faculty member. Such extensions must be requested and approved at the time the circumstances exist and before the end of the fifth year of the probationary period and must have documentation satisfactory to the dean for recommendation to the provost for approval.

4. Prior Service

Previous full-time service with the rank of instructor or higher in institutions of higher learning may be counted toward the acquisition of tenure. The letter of offer must specifically request that previous service at another institution or at the University of Louisville in a non-tenurable position be applied towards tenure and this request must be approved by the SOM dean and the university provost.

C. Tenure, Promotion and Appointment to Associate Professor of Tenurable Faculty

1. The requirements for promotion to associate professor are equivalent to those for granting tenure. It is recommended that requests be submitted jointly; i.e., a request for promotion should be coupled to a request for tenure. The departmental executive faculty and the chair, as determined by procedures outlined in Appendix B, have the responsibility for initiating consideration of promotion and tenure.
2. The candidate's record shall provide evidence of excellence in the major or designated area of the work plan (no less than 20% effort in the work plan) and proficiency in all other areas of their work plan. Criteria for excellence and proficiency in each area are defined in Appendix A. The individual's accomplishments should indicate promise of continuing proficiency in those endeavors that best support the research and academic mission of the School of Medicine and the University commensurate with the proportion of non-administrative duties in the department.
3. In addition, scholarship, defined as the creation of new knowledge and the dissemination and acceptance of it by peers must be demonstrated at the time of review. Scholarship in the areas of research, teaching and service is defined in Appendix A.
4. Normally, requests for promotion to associate professor and tenure will not be considered until a full probationary period of five years in faculty status has been served. Requests for early action are appropriate if the faculty member's accomplishments meet the stated criteria. Service prior to employment at the University or while serving in a non-tenurable appointment at the University can be considered in these deliberations if so stated in the letter of appointment by the Provost. A faculty member may request only one evaluation for early tenure. Once originated this evaluation shall proceed as indicated in Section 4.2.2.H of The Redbook unless the faculty member requests its withdrawal.
5. Candidates for new appointments at the rank of associate professor shall satisfy the same criteria as described above for promotion to that rank.

D. Promotion or Appointment to Professor of Tenured or Tenurable Faculty

1. Promotion to professor should be awarded with care and only to those who show promise of continuing excellence in the major or designated area of their annual work plan, and proficiency in all other areas of their work plan commensurate with the percent effort in the department. However, despite this anticipatory element, a recommendation for granting the rank of professor shall be made in recognition of accomplishments already attained.
2. In addition, scholarship must be demonstrated at the time of review. Scholarship in the areas of research, teaching and service is defined in Appendix A.
3. Normally, a minimum of five years in rank shall be served before a recommendation for promotion is considered. It should be understood that a department is not obligated to make a recommendation after the fifth year; a longer interval commonly is necessary to establish acceptable credentials. Seniority shall be considered but shall not, by itself, entitle one to promotion. Request for early promotion are appropriate if the faculty member's accomplishments as an associate professor meet the stated criteria.
4. Candidates for new appointments at the rank of professor shall satisfy the same criteria described above for promotion to that rank.

E. Promotion or Appointment to Associate Professor of Non-Tenurable Faculty

1. The candidate's record shall provide evidence of excellence in the major or designated area of the work plan and proficiency in all other areas of their work plan. Criteria for excellence and proficiency in each area is defined in Appendix A.
2. In addition, scholarly activity, as defined in Appendix A, on average annually is required.
3. Normally, requests for promotion to associate professor will not be considered until a full period of five years in faculty status has been served. Requests for early action are appropriate if the faculty member's accomplishments meet the stated criteria.
4. Candidates for new appointments at the rank of associate professor shall satisfy the same criteria as described above for promotion to that rank.

F. Promotion or Appointment to Professor of Non-Tenurable Faculty

1. Promotion to professor should be awarded with care and only to those who show promise of continuing evidence of excellence in the major/designated area of their annual work plan, and proficiency in all other areas of their work plan commensurate with the percent effort in the department. However, despite this anticipatory element, a recommendation for granting the rank of professor shall be made in recognition of accomplishments already attained.
2. In addition, scholarly activity, as defined in Appendix A, on average annually is required.
3. Normally, a minimum of five years in rank shall be served before a recommendation for promotion is considered. It should be understood that a department is not obligated to make a recommendation after the fifth year; a longer interval commonly is necessary to establish acceptable credentials. Seniority shall be considered but shall not, by itself, entitle one to promotion. Requests for early promotion are appropriate if the faculty member's accomplishments as an associate professor meet the stated criteria. Accomplishments made as an associate professor prior to employment at the University can be considered in these deliberations.

4. Candidates for new appointments at the rank of professor shall satisfy the same criteria described above for promotion to that rank with consideration for the areas of their work plan.

G. Appointment and Promotion of Part-Time and Gratis Faculty

1. Part-time faculty shall be held to the criteria specified for full-time non-tenurable faculty with consideration for their percentage effort and work plan. Reviews of part-time faculty will be commensurate with the candidate's %FTE.
2. Appointment and promotion of gratis faculty is initiated at the departmental level and does not require SOM PAT Committee review. These appointments and promotions are reviewed at the level of the dean (or designee). Specific guidelines and criteria for the appointment and promotion of gratis faculty are provided to departments as a separate document.

H. Periodic Career Review

All tenured faculty in the School of Medicine (with the exception of department chairs and the dean) shall undergo periodic career review after every fifth year of service to evaluate their contribution to the missions of the University, School of Medicine, and department. Candidates shall be evaluated as either "satisfactory: meeting School of Medicine criteria", or "unsatisfactory: not meeting School of Medicine criteria".

1. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year. A promotion review shall replace career review for the period in which the promotion occurs.
2. Periodic career reviews shall be conducted in substantially the same fashion as promotion reviews. Criteria shall be evidence of excellence in the major or designated area of the annual work plan, and proficiency in all other areas of their work plan, commensurate with the percent effort in the department, for the period under review, and scholarly activity as defined in Appendix A. The review process shall not extend beyond the Office of the Dean of the School of Medicine, but the results of such reviews shall be reported annually to the Office of the Vice President for Health Affairs for transmission to the provost.
 - a. Tenured faculty members evaluated as satisfactory shall begin the next review cycle in the following academic year.
 - b. Tenured faculty members evaluated as unsatisfactory shall be re-reviewed two years after the negative evaluation by the dean. Within the first thirty days after the 'unsatisfactory' is communicated in writing to the faculty member, they shall prepare a development plan in collaboration with, and approved by, their departmental chair or division head. The faculty member and department chair or division head shall jointly execute an agreement to complete the plan and shall forward the plan to the Dean of the School of Medicine for approval. The plan shall include specific requirements to be met within a 2 year period. Immediately following the 2 year period, the faculty member will undergo a Special Periodic Career Review. If the faculty member is again evaluated unsatisfactory, the career record of performance shall be forwarded to the Dean of the School of Medicine for appropriate disciplinary action that may include proceedings for termination (Section 4.2.4.A.2 of The Redbook). However, if the faculty member is evaluated satisfactory at the time of the two year follow-up career review, the next five-year review cycle begins with the following year.

3. For faculty with non-tenurable and part-time appointments, consideration for reappointment shall serve as their periodic career reviews. The criteria shall be pertinent to their defined areas of appointment and performance. Satisfactory reviews require documented proficiency in all assigned areas of the annual work plan. Those who are evaluated as “satisfactory: meeting School of Medicine criteria” may be offered additional contracts for reappointment. Those who are evaluated as “unsatisfactory: not meeting School of Medicine criteria” cannot be offered another contract.
4. All University Redbook and School of Medicine rights of due process and appeal for non-tenurable, probationary, and tenured faculty shall pertain in these periodic career reviews.

IV. Departmental PAT Policies

A. Allowance for Departmental PAT Policy Documents

1. Separate departmental documents are not required and their function can be fulfilled by adopting the school's criteria elaborated in this document (Policy for Promotion, Appointment and Tenure and for Periodic Career Review in the University of Louisville School of Medicine) and its accompanying Appendices. However, departments have the option of preparing written guidelines that specify additional requirements and procedures for promotion, appointment, tenure and periodic career review.
2. The document must be adopted by a majority vote of departmental executive faculty and approved by the unit Promotions, Appointment and Tenure Committee and the Dean of the School of Medicine.

B. Requirements of Departmental PAT Policy Documents

1. Departmental documents and procedures shall not disrupt due process nor set performance requirements lower than those established in this unit document.
2. Departmental documents must be explicit in specifying the responsibilities of the appointee and the criteria by which proficiency, excellence, and scholarship and other categories, if any, shall be measured. If factors such as professional licensing are required, this must be stated clearly, as well as how documentation shall be established.
3. The document must be explicit in specifying the procedures by which consideration of promotion, appointment, tenure and periodic career reviews are conducted.
4. Variations from the procedures listed in this document are acceptable only if the requested changes are not in conflict with the requirements of The Redbook and Minimum Guidelines.