

**SCHOOL OF HEALTH PROFESSIONS APPOINTMENT,  
PROMOTION AND TENURE COMMITTEE**

**POLICIES AND PROCEDURES**

The Policies and Procedures were originated by the 1982-1983 Appointment, Promotion and Tenure Committee of the KU School of Allied Health (renamed to School of Health Professions in 2011).

**OUTLINE OF DOCUMENT**

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## I. MISSION

The University of Kansas Medical Center has a reputation for excellence in teaching, in scholarship, and in service. This excellence is based in part upon a continual stream of exceptional students who have won an enviable record of accomplishment in earning awards for scholastic achievement. Ultimately, however, the excellence and reputation of the University depend directly upon the quality of its faculty. The purpose of the SHP Appointment, Promotion and Tenure Committee (APT) is to insure the quality of its faculty.

### **SUBJECT: Mandate and Scope of APT Committee Activities**

#### **REFERENCE:**

"Handbook for Faculty and Other Unclassified Staff," the University of Kansas Medical Center, revised April, 2016, found at <http://www.kumc.edu/Documents/faculty%20affairs/Handbook.pdf>.

#### **POLICY:**

The APT Committee shall function within the provisions identified in the *Handbook for Faculty and Other Unclassified Staff*, the University of Kansas Medical Center, revised April 2016, found at <http://www.kumc.edu/Documents/faculty%20affairs/Handbook.pdf>, and referred to throughout the text as Faculty Handbook.

#### **Overview of Tenure and Promotion Guidelines**

*[This section is based on the Faculty Handbook. It does not contradict the handbook, but some language has been broadened to refer to tenure track, tenured, and modified title faculty.]*

The principal titles granted by the University to academic faculty are these: professor, associate professor, assistant professor and instructor. These titles can be modified as appropriate to the faculty member's primary relationship to KUMC by the prefix "clinical", indicating the primary relationship is clinically- or professionally-oriented service and teaching activities, "education", indicating the primary relationship is teaching, and "research" indicating the primary relationship is the conduct of research.

The awarding of tenure and/or promotion to a faculty member is the most critical point in the process of selection and reward for achievement that maintains and improves the quality of the faculty. The review of applicants for tenured appointment, beginning at the departmental level and moving through channels to the University level, must be careful, deliberate, and searching if the standard of excellence to which we aspire is to be attained. The same considerations apply to recommendations for promotion in rank.

The criteria for tenure and/or promotion traditionally have been and continue to be teaching, research, and service. The award for tenure must take into account any prior service credited but will be based largely on evidence of achievement since joining the faculty. Promotion to a new rank must be based principally upon evidence of achievement since the last promotion or, for a person's first promotion, since the initial appointment to the faculty.

**Teaching.** Teaching is a prime responsibility of the University. For promotion to a higher professorial rank, evidence of effective teaching must be furnished. This evidence may take several forms. Student evaluations and peer evaluations are highly desirable. Departments and programs should provide a standard set of procedures to evaluate teaching to ensure an equitable and substantive review process. Individuals in the same field should be evaluated by the same means. However, no specific format or instrument is prescribed at the University level. Good teaching requires continual application and effort. The faculty member must keep abreast of new developments in his or her field and related fields, and must maintain credentials as a scholar so that he or she is part of the creative process by which the frontiers of knowledge are continually being expanded. The faculty member should be enthusiastic about the particular discipline and should be able to communicate this enthusiasm to the students, thus

stimulating both the faculty member and the students to greater achievement. The University prides itself on having faculty members whose merit and service to the University earn them a well-deserved place of honor and respect in the institution.

Research and Scholarship. Research and scholarship have several purposes for the faculty member. They help maintain the competence of the faculty member in the discipline, and they are a service to the profession and to society. A faculty member's accomplishments and contributions as a scholar bring vital recognition to both the individual and the University. The University exists to create, preserve, and transmit knowledge, —and scholarly productivity is an integral and indispensable part of its role as an educational institution.

Promotion in professorial rank is a testimony and recognition of professional competency and productivity. The standards for measuring scholarly and creative productivity cannot be applied uniformly throughout the University. In many areas, the evidence for competence is research conducted by the faculty member, the results of which are submitted for professional evaluation, review, and criticism to peers through recognized media. In those areas, publication in refereed journals and in books is the most significant measure of scholarly productivity. However, publication of in-house media and non-refereed journals also will be reviewed. Competitive awards and grants from agencies of national standing are another useful index of an individual's success in obtaining recognition for research.

Scholarly production and discovery can also take the form of preparation of published reports, studies, and other material for governmental agencies and non-governmental organizations concerned with the operation, evaluation, or improvement of the discipline, continuous quality improvement, grant writing, protocol development, implementing clinical guidelines, testing new teaching assignments or patient teaching techniques, evaluating leadership styles, creating organizational change, or participating in business and industry partnerships. Participation in symposia, conferences, and professional meetings is another outlet for publicizing and testing the results of one's research. The presentation of papers often lacks the formal review procedure and critical response provided by publication, and in those cases such activity is not sufficient in itself as evidence of scholarly productivity. Members of professional or practitioner-oriented disciplines share scholarly obligations with the rest of the faculty. However, in cases where administrative or clinical responsibilities involve a disproportionate amount of the applicant's time, the required extent of written scholarship may be modified. Some measure of scholarly productivity may be demonstrated by results of professional consulting or advice in the practice of the profession being taught.

In terms of research, the award of tenure and/or promotion to assistant professor, or promotion to associate professor should be based on sufficient evidence of scholarly productivity to document a successfully developing career. For promotion to full professor, evidence must be conclusive that this objective has been realized; consequently, the record of scholarly and creative productivity should be substantially greater than that expected at the lower ranks. Continuing productivity from the time of one's formal entry into a professional academic career, is expected.

Service. Service is of several kinds. Activities such as academic advising and continuing education are expected of every faculty member. Extramural activities in professional organizations and in public bodies are an important means of bringing prestige to the University. Such service is to be encouraged and recognized. It adds to the professional competence of the individual, provides contact with a larger circle of peers and brings greater visibility to the University. Outreach activities are not necessarily restricted to service but may contribute to any of the areas of faculty endeavor. In the Medical Center, service also consists of patient care, direct and indirect. Faculty governance and committee participation are other forms of service. As with teaching and scholarship, service must be evaluated as to quality as well as quantity, with respect to its contribution to the University in the performance of its mission.

One other form of service must be singled out. Promotion up through the professorial ranks is a recognition of professional achievement. Administration is an essential part of our well-being and,

therefore, administrative service is another kind of contribution a faculty member may make to the University. Administrators, however, must meet the standards of academic excellence. Neither service nor administrative duties alone may serve as the basis for promotion.

Length of Time in Grade. There are no rigid standards for the length of time in grade between promotions. In most fields, it is normally expected that two to six years should elapse between appointment as instructor to promotion to assistant professor, five to six years between appointment as an assistant professor and promotion to associate professor, and five to six years from associate professor to full professor. Promotion at the end of these periods is based upon the applicant's meeting the criteria enumerated above. A recommendation for promotion earlier than is customary must include evidence of truly exceptional merit. The word exceptional is not suggested lightly because it is presumed that a promotion at the end of a normal term of service in rank is based upon meeting the criteria in more than just a satisfactory manner, by some common standard of excellence. It is conceivable that an individual with a satisfactory record in one of the enumerated criteria but without a complimentary record in the other criteria will remain in grade longer than the norm if not indefinitely.

The criteria are expected to be defined in such a way that their fulfillment gives the higher ranks dignity and stature and will identify promotion as an acknowledgement of professional accomplishment in one's discipline. The added prestige and recognition that promotion and tenured status based upon such standards confers on an individual is highly beneficial, indeed essential to the morale and lustre of our faculty and University. Promotion and tenure are never automatic for a faculty member. They must be earned.

#### **A. Promotions**

Promotion to assistant professor, associate professor, or professor (modified or unmodified) is made on the basis of meritorious performance as described in guidelines provided by individual schools. The University of Kansas Medical Center, at all times, seeks to attract, retain, and reward the faculty member who consistently performs effectively as a faculty member-scholar. In addition, KUMC seeks to recognize service which faculty members may contribute to the University, the community, the state, or the nation through their clinical endeavors and research activities. Academic promotion is an important means of acknowledging such performance and service. It is awarded for achievement, not for mere length of service or as an incentive to greater effort.

Recommendations for promotion normally originate in the departments and are forwarded to the promotions and tenure committees of the School of Medicine, the School of Nursing, or the School of Health Professions. These committees make their recommendations to their respective Deans or their designate, whose recommendations are forwarded to the Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs prepares the promotion list and forwards it to the Executive Vice Chancellor. The Executive Vice Chancellor's recommendations are then sent to the Chancellor for final action.

Procedures for recommendations for promotion, award of tenure, and notice of non-reappointment are detailed in guidelines which are available to each faculty member early in the academic year through the Deans.

#### **B. Tenure**

The tenure regulations approved by the Board of Regents in 1947 and amended in 1980, 1981, and 1982 follow the 1940 Statement of the American Association of University Professors:

1. After the expiration of the probationary period, faculty members or investigators should have permanent or continuous tenure, and their services should be terminated only for adequate cause, except in the case of retirement for age, program or unit discontinuance or under extraordinary

circumstances because of financial exigency. Conditions for the termination are covered in the Faculty Handbook.

2. In the interpretation of the principles contained in Section A of this resolution, the following is approved by the Board.
  - a. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and faculty member before the appointment is consummated.
  - b. Beginning with the institution's full-time appointment of the tenure-track faculty member, the probationary period shall not exceed seven years. The probationary period may be reduced at the time of appointment by the chief executive officer (or their designee) if it has been determined that the faculty member has served a partial probationary period at a comparable institution and such reduction is in the best interest of the institution but the probationary period may not be reduced to less than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years; Notices should be given at least one year prior to the expiration of the probationary period, if the faculty member is not to be continued in service after the expiration of that period. (Editorial note: The last sentence has been modified by the Regents' later acceptance of the AAUP's Standards for Notice of Non-Reappointment). Under unexpected special and extenuating circumstances, prior to the sixth year of service, and at the request of the faculty member and the appropriate Dean, the Chief Academic Officer may grant an extension of the tenure clock for a maximum of one year (BOR 9-18-97).

To the main statement, quoted from the 1940 Statement, the Regents appended the following provisions:

Within this general policy, each school may make such operating regulations as it deems necessary, subject to the approval of the Board.

Lists of individuals approved by the Chief Executive Officer at a Regents' institution for tenure shall be submitted by the Chief Executive Officer of that institution to the Board for its information at its April meeting. Any tenure approved by the institution shall be limited to tenure for the recommended individual at the institution consistent with the tenure policies of that institution. (BOR 2/19/97).

With such approval of the Regents, the University adopted several local tenure rules, which have since been abolished. Appointments to the faculty made prior to October, 1971, are subject to the local rules stated in the 1970-71 Faculty Handbook. Only one local tenure rule is presently in force. On May 21, 1976, the Board of Regents approved a regulation for application at the University of Kansas. This regulation was amended by the Board on February 21, 1981. The current regulation is as follows:

If, for any reason, the seven-year probationary period of an untenured employee will terminate on any date other than the last day of an academic year, the University and the untenured employee may agree in writing to extend that probationary period for a time not to exceed six calendar months beyond the date on which the employee's probationary period would be completed; and subject to the additional proviso that the faculty member and the University of Kansas may agree in exceptional circumstances to discount or forego such full-time service that has been performed under significantly different responsibilities or in a

significantly different institutional setting. The amount of prior service to be discounted will be negotiated between the applicant and the Executive Vice Chancellor (or designee), and agreed in writing at the time of initial appointment to the University, provided the probationary period at the University of Kansas does not exceed seven years.

Full time is defined as one whose appointment indicates 100% time and whose reimbursement, from whatever source, is for 100% time employment at the University of Kansas Medical Center. The intention of tenure is outlined in the offer letter that is sent to every beginning faculty member, regardless of rank, and must be acknowledged by the faculty member in writing. An appointment with immediate tenure is usually reserved for newly appointed Department Chair, others who may have been tenured at another institution, or those individuals who are well recognized in their field and in the academic community. Part time service to the University in teaching, research, and administration does not count toward tenure.

## II. SCHOOL OF HEALTH PROFESSIONS APT COMMITTEE

### SUBJECT:

#### A. BYLAWS AUTHORITY

#### REFERENCE:

Bylaws, School of Health Professions, Article IV: Section 1, and Section 3.

#### POLICY:

The APT Committee shall function under the Bylaws, School of Health Professions, Article IV - Standing Committees; Section 1. General Rules; Section 3. Appointment, Promotion and Tenure Committee.

#### POSITION STATEMENT:

The Bylaws empower this APT Committee to establish and enforce standards for the assurance of high quality faculty.

### SUBJECT:

#### B. Membership

#### POLICY:

**The Membership shall consist of eight faculty members with primary full-time or part-time academic appointments in SHP selected by the SHP departments or programs who are above the rank of Assistant Professor (tenured or modified title) in the School of Health Professions.**

#### POSITION STATEMENT:

**It is essential that each Committee Member fulfill the responsibilities as outlined in Article IV, Section 3A.**

#### PROCEDURE:

- I. Department Chairs/Program Directors are to submit the name of the person selected by the department to serve on the APT Committee, to the APT Committee chairperson by June 30, according to the following rotation schedule:

Select in even years	Select in odd years
Dietetics and Nutrition	Clinical Laboratory Science
Nurse Anesthesia Program	Hearing and Speech
Occupational Therapy Education	Physical Therapy and Rehabilitation Science
Health Information Management	Respiratory Care Education

- II. The SHP APT Committee chairperson will initiate this procedure by requesting from the appropriate departments/programs the name and rank of their representative. Departments/programs can petition the SHP Steering Committee for the inclusion of a tenured or modified title assistant professor if no associate professor or full professor is available. Every member will have voice on all issues addressed by the APT Committee. Tenured APT Committee members are eligible to vote on all tenure decisions and promotion decisions for applicants applying for a rank at or below the committee member's rank. APT Committee members with modified titles are eligible to vote on promotion decisions for applicants applying for modified titles at or below that committee member's rank and from the same track (clinical, educator or research track). Membership may include faculty who are Departmental Chairs. Members shall have terms of two years. A faculty member may serve on the APT Committee many times, but no more than two consecutive terms. If a department/program does not have a sufficient number of

eligible faculty to rotate on the APT Committee this department/program representative may serve for more than two consecutive terms.

III. When a APT Committee Member is unable to fulfill responsibilities, action is determined by the APT Committee Chair.

IV. If vacancies should arise, the vacancy shall be filled by the department that created the vacancy.

**SUBJECT:**

**C. Officers**

**POLICY:**

**Officers are elected yearly from within the APT Committee.**

**PROCEDURE:**

- I. A Committee Chair is determined annually by the APT Committee. The number of officers and their roles are determined by the APT Committee.
- II. Functions of the APT Committee Chair include:
  - A. Determines meeting schedules.
  - B. Prepares and disseminates the agenda for meetings to all APT Committee members.
  - C. Chairs all meetings or delegates Chair in absence.
  - D. Initiates posting of the updated Policies and Procedures on the web site.
  - E. Appoints working subcommittees as necessary.
  - F. Monitors and schedules APT Committee functions and deadlines.
  - G. Submits and communicates APT Committee reports at faculty meetings.
  - H. Establishes annual goals and program of work with APT Committee members.
  - I. Requests funds to support program of work when necessary.
  - J. Acts as official liaison with the Dean of the School of Health Professions concerning APT Committee decisions and recommendations.
  - K. Determines action to be taken when APT Committee member is unable to fulfill responsibilities.
  - L. Posts documents including, but not limited to, agendas and minutes of meetings, correspondence of a non-confidential nature, and other materials at their discretion, in a secure location accessible to other APT Committee members.
  - M. Records and distributes minutes of APT Committee meetings to all members.
  - N. Collects and updates the APT Committee Policies and Procedures.

**SUBJECT:**

**D-1. Responsibilities: Annual Goals**

**POLICY:**

**Goals shall be established and reviewed annually by the APT Committee.**

**PROCEDURE:**

- I. Goals identifying the program of work for the year are to be established by September 1.
- II. Reports regarding planned and achieved goals become the basis for APT Committee activity reports to the faculty of the School of Health Professions.

III. Requests for resources required to achieve goals are directed to the Dean in writing via the APT Committee Chair.

**SUBJECT:**

**D-2. Responsibilities: Resource to Faculty**

**POLICY:**

**The APT Committee is a primary resource to Faculty of the School of Health Professions in the matter of Appointments, Promotion and Tenure.**

**PROCEDURE:**

- I. The APT Committee serves as a resource to departmental/program APT Committees or individual faculty members.
- II. The APT Committee encourages Search Committees to recognize APT criteria in their decision making process.
- III. The APT Committee encourages Department Chairs/Program Directors to recognize APT criteria in evaluation of their faculty's progress.

**POSITION STATEMENT:**

Faculty members shall feel free to consult any member of the APT committee concerning APT process, criteria, compilation of materials, or presentation of same.

**SUBJECT:**

**D-3. Responsibilities: Policies and Procedures Update**

**POLICY:**

**APT Committee annually evaluates committee policies and procedures and revises as necessary.**

**PROCEDURE:**

- I. The Policies and Procedures are available through the SHP web page.
- II. The Policies and Procedures identify how the APT committee fulfills its functions.
- III. All revisions of the Policies and Procedures must be approved by simple majority voice vote of the APT Committee members. Approval is indicated by APT Committee meeting minutes.
- IV. It is the responsibility of the Chair of the APT Committee to see that the Policies and Procedures on the web site are updated, as required.
- V. All faculty of the school must be informed of Policies and Procedures changes affecting the APT process as they occur.

**SUBJECT:**

**E. Voting**

**POSITION STATEMENT:**

**The APT Committee establishes voting criteria that assures uniformity and consistency in reviewing all applicants for Appointment, Promotion and/or Tenure and in APT Committee Operation.**

## **PROCEDURE:**

### **Voting - Operational aspects**

- I. A quorum of 5/8 is required for all APT Committee operations.
- II. A motion can be brought to the floor at any time by an APT Committee member.
- III. The motion is approved by a minimum supporting vote of a simple majority of members present.

### **Voting - Appointment, Promotion, Tenure**

- I. APT Committee decisions regarding the appointment, promotion and/or tenure recommendations are based on the Appointment, Promotion and Tenure Guidelines adopted by the School of Health Professions Faculty.
- II. Every member will have voice on all issues addressed by the APT Committee. Tenured APT Committee members are eligible to vote on all tenure decisions and promotion decisions for applicants at or below the committee member's rank. APT Committee members with modified titles are eligible to vote on promotion decisions for applicants with modified titles at or below that committee member's rank and from the same track (clinical, educator, or research track).
- III. Any APT Committee member with a vested interest in an applicant being reviewed (to include anyone in the applicant's department and any other faculty with a close relationship) is not eligible to participate in the review nor do they have voting privileges for that applicant. An introductory statement may be made prior to the review by a APT Committee member who is ineligible to participate otherwise. That member must be excused during the APT Committee's subsequent discussion, deliberations, and voting for this applicant.
- IV. If there are fewer than five APT Committee members meeting the voting eligibility criteria outlined in section A above, sufficient numbers of additional faculty meeting these criteria shall be identified to complete a five-person committee. Additional committee members may be from the SHP or other Schools at the University of Kansas. The APT Committee will select these individuals from a list of potential members that it develops in consultation with the Chair of the department in which the applicant is to be appointed, promoted, and/or tenured. The entire APT Committee, including those who are not tenured and do not hold the rank of Associate Professor or higher, will participate in a vote to select which members will be added to form the new committee. All new committee members shall have voice and voting privileges for the cases being reviewed. The recommendations of the committee will be conveyed to the Dean of the School. *See Additional Procedures for Applicants for Professor (section V.E.)*
- V. If the Chair of the APT Committee is below the rank for which application is made, that Chair will be present at the discussion/vote on the applicant to attend to procedural matters, but will not participate in the discussion/vote.
- VI. APT Committee decisions regarding the appointment, promotion, and/or tenure recommendations are based on the vote of eligible voting members present at the time of voting, as follows:

<b>Percentage Vote</b>	<b>Decision</b>
Equal to or greater than 75% support	approval
Equal to or less than 50% support	deny
Greater than 50% but less than 75% support	discuss to resolution

- VII. Anonymous ballots from APT Committee members eligible to vote are collected and the results compiled by the APT Committee Chair.

- VIII. The APT Committee's written recommendation is forwarded to the Dean via the Committee Chair.
- IX. APT Committee representatives may meet with the Dean to discuss the rationales supporting the recommendations per applicant for promotion/tenure.

### **III. SCHEDULE**

#### **SUBJECT:**

##### **A. Annual Calendar**

#### **POLICY:**

**The APT Committee functions according to the suggested calendar, as exhibited below.**

#### **PROCEDURE:**

- I. Annual Calendar is reviewed and updated yearly following assumption of responsibility by newly elected officers.

## II. School of Health Professions Appointment, Promotion and Tenure Annual Calendar\*

<b>July 1</b>	New members take office
<b>July 15</b>	First Meeting/Chair, Officers Elected
<b>August 1</b>	By this date: <ul style="list-style-type: none"> <li>• APT Committee Chair should request from the Faculty Affairs office information regarding (a) mandatory tenure reviews and (b) mid cycle (third year) comprehensive review for tenure track faculty</li> <li>• APT Committee Chair sends notice to Department Chairs/Program Directors, requesting that they submit the <i>APT Notice of Intent</i> document to the APT Committee Chair by September 1<sup>st</sup> if they have faculty members (applicants) that intend to apply for tenure and/or promotion that year</li> <li>• APT Committee Chair sends a reminder, twice a year, to Department Chairs/Program Directors to submit information on new faculty hire that are to undergo pre-review</li> </ul>
<b>September 1</b>	<i>APT Notice of Intent</i> document due to APT Committee Chair
<b>September 5</b>	Names of external reviewers due from applicants for promotion to Professor (submitted via SharePoint site)
<b>2<sup>nd</sup> Friday of September</b>	Chair notifies Department Chair and faculty requiring Post-tenure review (PTR)
<b>September 15</b>	<ul style="list-style-type: none"> <li>• Ad Hoc Committee Members and External Reviewers Selected by APT Committee and Contacted</li> <li>• Goals, Program of Work, Resource Needs Identified / Conveyed to Dean</li> <li>• Suggested deadline for submission of materials by applicants to Department Chair/Program Director and /or departmental APT Review Committee</li> </ul>
<b>Fall Faculty Meeting</b>	<b>Report Regarding Program of Work</b>
<b>October 15</b>	Suggested deadline for completion of departmental APT reviews and notification to applicant regarding recommendations from the Department
<b>November 1</b>	Deadline (5 pm) for submitting materials to APT Committee SharePoint site including letters from the Departmental APT Review Committee and the Department Chair/Program Director
<b>November 15</b>	Deadline for letters from External Reviewers for APT Committee Review
<b>December 15</b>	Final recommendations related to tenured and tenure track faculty due to Dean's Office
<b>January 15</b>	Post-tenure review materials due to APT Committee
<b>February 1</b>	<ul style="list-style-type: none"> <li>• APT Policies and Procedures Reviews / Revisions Begin</li> <li>• APT Committee Chair reminds Department Chairs/Program Directors to submit information on new faculty hire that are to undergo pre-review</li> </ul>
<b>March 1</b>	Final recommendations related to faculty with modified titles due to Dean's Office and faculty scheduled for post-tenure review due to Dean's Office

<b>Spring Faculty Meeting</b>	<b>Report Regarding Program of Work Progress</b>
<b>May 15</b>	APT Committee Chair requests that relevant departments/programs name the next year's representative to the APT Committee
<b>June 30</b>	Completion of APT Committee charges APT Chair notified by respective department APT committee that required mid-cycle review completed Chair store meeting minutes and agenda on SharePoint; sensitive documents on S drive

\*If any date falls on a holiday or weekend, then the deadline will fall on the first work day after the holiday or weekend.

**SUBJECT:****B. APT Committee Meetings****POLICY:**

**APT Committee meetings are scheduled according to the program of work.**

**PROCEDURE:**

- I. The APT Committee Chair is responsible for establishing meeting dates, times and place minimizing conflicts with APT Committee members' schedules.
- II. The APT Committee Chair notifies the APT Committee members of upcoming meetings
- III. Meetings are scheduled as required to accommodate new appointments.
- IV. Minutes are recorded for all meetings, disseminated to APT Committee members and maintained in a secure location accessible to other APT Committee members.

**IV. SHP APPOINTMENT, PROMOTION AND TENURE GUIDELINES****SUBJECT:****SHP APPOINTMENT, PROMOTION AND TENURE GUIDELINES**

**Adopted by the Faculty of the School of Health Professions -May 2010**

**APT COMMITTEE REVIEW POLICIES:****PURPOSE:**

The purpose of the School of Health Professions Appointment, Promotion and Tenure Committee is to assure the quality of the School's faculty in research/scholarly activity, teaching and service subject to and in accordance with the Faculty Handbook.

**POLICY:****Appointment Reviews:**

All tenure track appointments or transfers at or greater than the level of assistant professor are evaluated by the APT Committee. Switching from the clinical, educator or research track to the tenure track constitutes an appointment. All tenure track faculty who are 100% employed by KUMC and have a 50% or greater appointment in the School of Health Professions are evaluated by the APT Committee. The recommendation of the APT Committee regarding the appointment is forwarded to the Dean for action. Faculty appointments shall not be made with immediate tenure, except under exceptional circumstances and with the concurrence of the Dean, and in accordance with applicable procedures in the Faculty Handbook and the policies of the Board of Regents.

**Promotion Reviews:**

The APT Committee evaluates for promotion all faculty members (modified and unmodified titles) at the rank of Instructor or above and who are 100% employed by KUMC and have a 50% or greater appointment in the School of Health Professions. The recommendation of the APT Committee regarding the promotion is forwarded to the Dean for action.

**Tenure:**

The APT Committee considers tenure only for full-time tenure track faculty with unmodified titles who are 100% employed by KUMC and have a 50% or greater appointment in the School of Health Professions.

**A. ELIGIBILITY BY TITLE FOR EVALUATION BY THE SCHOOL OF HEALTH PROFESSIONS APPOINTMENT, PROMOTION AND TENURE COMMITTEE**

<b>Academic Titles</b>	<b>Appointment</b>	<b>Promotion</b>	<b>Tenure</b>
<b>A. Tenure track or Tenured</b>			
1. Instructor	-	+	-
2. Assistant Professor	+	+	+
3. Associate Professor	+	+	+
4. Professor	+	-	+
<b>B. Modified Titles (Clinical, Education or Research)</b>			
1. Instructor	-	+	-
2. Assistant Professor	-	+	-
3. Associate Professor	-	+	-
4. Professor	-	-	-

'+' = APT Committee reviews; '-' = APT Committee does not review

Both modified and unmodified tracks include four ranks: instructor, assistant professor, associate professor and professor. Appointments to the rank of assistant professor and above (modified or unmodified) are evaluated by the APT committee. Evaluation of appointments includes review of the redacted offer letter and the applicant's Curriculum Vitae. When a faculty member initially is being appointed to a tenure track role (e.g., a new hire) at the level of assistant, associate, or full professor, the APT committee will review the suitability of that faculty member for that rank and role, preferably prior to finalizing the details of that individual's appointment by the Chair and the Dean. However, where time is insufficient for the APT review that candidate's offer letter must include the statement the proposed rank and role are subject to review by the APT committee and recommendation to the Dean. Promotions to the rank of assistant professor (modified or unmodified) are evaluated by the APT committee. Evaluation of these promotions includes review of a chair letter detailing time allocation and responsibilities and the applicant's Curriculum Vitae. Applications for promotions to the rank of associate professor and professor for both modified and unmodified titles are evaluated in accordance with a single set of faculty performance guidelines found in Activity Summary Forms posted on the School of Health Professions web page for the Appointment, Promotion and Tenure Committee [<http://www.kumc.edu/school-of-health-professions/shp-appointment-promotion-and-tenure-committee.html>].

The exception to following the review calendar is when the faculty member's credentials change – often when a degree is earned that substantially changes that individual's contribution to the academic setting. An Instructor holding a master's degree who then earns a terminal degree (doctorate) is an example of this situation. This change in rank is a promotion only and can occur anytime without following the regular P&T calendar. In this situation, the Department Chair's recommendation of the promotion to the Dean does not necessitate a review by the APT committee. The APT committee may, however, be asked to review the faculty member's CV and other relevant materials, similar to that of a new hire, if the promotion includes recommendation to a tenure-track role.

**B. ELIGIBILITY BY TIME FOR PROMOTION AND/OR TENURE**

**For Promotion:** Individuals may be evaluated at any time following their appointment at the University of Kansas, although a minimum of two-six years is recommended (depending on rank) before such consideration. *Faculty Handbook*.

The APT Committee's evaluations for promotion will be based on all of an applicant's professional history with emphasis on performance at the University of Kansas. Greater emphasis will be placed on activities occurring after the last promotion.

**For Tenure:** Individuals may be evaluated at any time following their appointment at the University of Kansas. Sustained performance before tenure evaluation must be documented. However, tenure review must occur by the mandatory review date as specified in the Faculty Handbook.

The APT Committee's evaluation for tenure will be based on all of an applicant's professional history as well as performance while at the University of Kansas.

### **C. ELIGIBILITY BY FACULTY PERFORMANCE FOR APPOINTMENT, PROMOTION, AND/OR TENURE**

**For Appointment:** The applicant shall meet the performance guidelines for teaching, research/scholarly activity and service for the proposed rank.

**For Promotion:** The applicant shall meet the performance guidelines for teaching, research/scholarly activity and service for the proposed rank. Promotion to Professor (modified or unmodified) requires review by at least two external experts in the applicant's discipline. The reviewers shall be selected by the APT Committee from a list of names of nationally recognized leaders in the applicant's discipline. The list will include names provided by the applicant and Chair of the department. These external experts are not to have recent vested interest in the applicant's work (e.g., co-publications, shared grants, etc.).

**For Tenure:** The applicant shall demonstrate sustained performance in meeting the performance guidelines for the current rank. Although promotion and tenure are separate decisions, all recommendations for promotion to the rank of associate professor will usually be considered for the award of tenure, if not already achieved. *Faculty Handbook*.

### **D. GUIDELINES FOR LEVELS OF ACTIVITY BY FACULTY RANK**

#### **Position Statements:**

It is recognized that all actions of the APT Committees will be guided by the policies found in the Faculty Handbook. These guidelines shall be utilized subject to and in accordance with the policies delineated in the Faculty Handbook.

Departmental guidelines may exceed but may not be less than these School of Health Professions Guidelines. If the departmental guidelines exceed these School of Health Professions guidelines, the departmental guidelines will prevail. Departmental guidelines shall be written and a copy provided to each faculty member within the department and to the School of Health Professions APT Committee and the Dean. SHP guidelines were developed assuming a 40/40/20 % time allocation for Teaching, Research/Scholarship, and Service, respectively. The APT Committee will consider each applicant's effort distribution as specified by their department when evaluating the applicant's application for promotion and/or tenure.

Evaluation of new appointees may require consideration of potential rather than demonstrated performance, e.g., for new graduates with little or no academic experience.

Accomplishments which vary from the performance guidelines may be negotiated by the Dean depending upon the responsibilities delineated in the position description, e.g., Chair of a department.

Faculty with modified titles must have the majority of their effort devoted to either clinical/professional (Clinical track), teaching (Educator track) or research (Research track) activities. To be considered for promotion, faculty with modified titles must have at least 50% appointments in the School of Health Professions.

All faculty applying for promotion and/or tenure will be evaluated with a single set of guidelines. The APT committee will take into account the % effort devoted to each category of activity in its evaluation of each applicant's activity.

Teaching is a primary mission of the university. All faculty are expected to demonstrate and maintain teaching excellence as appropriate to their position, academic preparation and rank. Evaluation of teaching takes into consideration the teaching history, i.e., the number of courses taught, the type of courses, student advisement, and the number of times the faculty member has offered the course. Considerable variability is possible.

Faculty are expected to participate in research/discovery/scholarly activities as appropriate to their position, academic preparation and rank. The numbers of publications and presentations listed in these guidelines are suggestions and not intended to be interpreted literally. Variations may be negotiated depending on the responsibilities delineated in the position description; however, absence of publications or presentations will not be acceptable.

It is also expected that all faculty are involved in service roles within the University, the profession, and the community. Community service activities must relate to the faculty member's professional discipline and area of expertise.

Specific guidelines for promotion and tenure are found in Activity Summary Forms posted on the School of Health Professions web page for the Appointment, Promotion and Tenure Committee [<http://www.kumc.edu/school-of-health-professions/shp-appointment-promotion-and-tenure-committee.html>].

### **E. Revisions to Appointment, Promotion and Tenure Guidelines**

Revisions and/or modifications to the faculty performance guidelines shall be recommended by the APT Committee and approved by the Dean and a majority vote of the faculty.

## **V. THE APT PROCESS**

### **SUBJECT:**

#### **A. Initiation of Promotion/Tenure Application**

### **PROCEDURE:**

- I. By August 1, the APT Committee Chair should request from the Faculty Affairs office information regarding (a) mandatory tenure reviews, and (b) mid cycle (third year) comprehensive review for tenure track faculty.
- II. By August 1, a call is sent out to Department Chairs/Program Directors, requesting that they notify the APT Committee Chair by September 1 if they have faculty members (applicants) that

intend to apply for tenure and/or promotion that year. The two sources of information are compared to assure accuracy.

**SUBJECT:**

**B. Mid-Cycle Review**

**POLICY:**

For faculty members on the tenure track, a comprehensive review will be made by the department's Promotion and Tenure Committee at the mid-cycle of their tenure-track appointment (by June 30<sup>th</sup> of the third year). For those faculty hired with prior credit towards tenure, the mid-cycle review shall occur sooner (from KUMC Handbook for Faculty, revised April 2016).

**PROCEDURE:**

- I. The Departmental APT Review Committees and their procedures, shall be established in accordance with the decision-making procedures of the department.
- II. The Departmental APT Review Committee shall provide feedback to the faculty member and notify the SHP APT Chair that the mid-cycle review has been completed.
- III. It is strongly discouraged that the mid-cycle review occur earlier than required. If the mid-cycle review does occur earlier than required, than a waiver must be signed by the candidate waiving the right to the official mid-cycle review.

**SUBJECT:**

**C. Departmental Review of Application**

**POLICY:**

**Refer to the KUMC Handbook for Faculty and Other Unclassified Staff .**

**PROCEDURE:**

- I. The Departmental APT Review Committees and their procedures, shall be established in accordance with the decision-making procedures of the department.
- II. \* The Departmental APT Review Committee has the following responsibilities:
  - a. To screen the application for completeness and organization based on the requirements of the SHP APT Application.
  - b. To evaluate the SHP APT Application in comparison to the SHP APT guidelines (or departmental guidelines where applicable), and write a letter reporting the outcome of that evaluation. This letter should state the Departmental APT Review Committee's opinion on whether the applicant's request for promotion/tenure is supported by the department, and provide support for that opinion. The letter is submitted to the SHP APT Committee and at the discretion of the committee may be copied to the Department Chair/Program Director.
- III. \* The responsibilities of the Department Chair/Program Director include:
  - a. To evaluate the SHP APT Application in comparison to the SHP APT Guidelines (or departmental guidelines where applicable).
  - b. To write a letter to the SHP APT Committee to indicate his/her recommendation with appropriate comments to support/or not support the request for promotion/tenure. This letter should include:

- i. A clear statement as to whether the Department Chair/Program Director recommends or does not recommend the applicant's request for promotion/tenure.
  - ii. An evaluation of the applicant's activities compared to the SHP APT Guidelines (or departmental guidelines, if applicable). Both quantity and quality of activities should be evaluated.
  - iii. When the promotion/tenure of a Department Chair/Program Director is being considered, the writing of this letter is governed by criteria outlined in "section V. The APT Process, F. Department Chair/Program Director as Applicant."
  - c. To notify the applicant in writing of his/her recommendation for promotion/tenure. If the applicant requests the reasons for the recommendation, the Department Chair/Program Director will communicate the information to the applicant in a personal interview or in writing.
  - d. To send an electronic copy of the Department Chair's/Program Director's letter to the APT Committee Chair, to be included in the applicant's materials.
- IV. If a faculty member is not recommended by the Departmental APT Review Committee and/or Chair/Director, the faculty member can request in writing to the Department Chair/Program Director that the application be forwarded to the Dean's office to proceed through the rest of the review process. A copy of this letter will become a part of the application.

**\* See Annual Calendar for appropriate dates.**

## **SUBJECT:**

### **D. Required Materials**

#### **POLICY:**

**The applicant is responsible for submitting the required materials as instructed by the APT Committee web site. The applicant is responsible for adhering to the established deadlines for the promotion/tenure process. The SHP APT Committee will not review applications received after the deadline. The applicant is welcome, however, to consult with the Chair, or Chair designee, of the APT committee regarding organization, formatting, process, or other aspects of the application process.**

#### **PROCEDURE:**

- I. *For appointment (new to KUMC or switching from the clinical, educator or research track to the tenure track within KUMC).*  
The Department Chair/Program Director prepares
  - A. Letter outlining responsibilities and percentage of effort in teaching, research/scholarship and service
  - B. Curriculum Vitae
- II. *For promotion/tenure.*
  - A. Applicant Data Sheet
  - B. Letters from the Departmental APT Review Committee and Department Chair/Program Director. NOTE: The "letter from the Department Chair/Program Director" must be written by a person other than the Department Chair/Program Director if that Chair/Director is the individual being considered for promotion or tenure; please refer to section V. The APT Process, F. Department Chair/Program Director as Applicant" for additional information addressing this situation.
  - C. Letters from external reviewers, if the application is for promotion to the rank of Professor.

When the letters are received by the APT Committee Chair, they will be placed in the applicant's electronic folder.

- D. Activity Summary form. The Activity Summary is to be a record of the individual's professional history since the time of initial appointment or most recent promotion. However, verification is to be submitted only for activities during the past seven years if professional employment exceeds that interval.
- E. Verification materials. The objective of verification materials is to document the quantity and quality of activities relative to the SHP guidelines for promotion and tenure. Example verification materials are given below:

#### TEACHING

- a. **Formal Instruction:** Summaries of course/clinic/presentation evaluations. Peer reports. Title page of student research.
- b. **Teaching Innovations:** Cover pages of printed materials, etc., (as applicable).
- c. **Curriculum Development:** Committee documentation, cover pages of resulting products.
- d. **Peer Mentorships:** Statement from peer/Department Chair/Program Director.
- e. **Other:** (as appropriate)

#### RESEARCH/SCHOLARSHIP

- a. **Publications:** Actual document for key references. First page for other references or letters of acknowledgment/acceptance for items submitted/in press.
- b. **Presentations:** Invitations/acknowledgments or program materials citing the presentation.
- c. **Products:** Cover pages of materials used for publicity or of item itself if printed.
- d. **Grants:** Title page, including PI(s)/co-PI(s), agency, dates, amount, etc
- e. **Other:** (as appropriate)

#### SERVICE

- a. **Program Activities:** Statement from Department Chair/Program Director, committee documentation.
- b. **Institutional Activities:** Committee documentation, project cover sheets.
- c. **Professional Activities:** Committee documentation, project cover sheets.
- d. **Continuing Education:** Publicity materials, letters of invitation / acknowledgement.
- e. **Other:** (as appropriate)

PROF. DEVELOPMENT (As appropriate: receipts, enrollments, certificates, etc.)

The following additional strategies are to be used to economize on the volume of materials submitted as verification.

**Publications:** Submit the actual document for a maximum of 5 key references. For the remainder, include only the title page, Index/Table of Contents, etc. verifying the publication and authorship.

**Products:** Submit only covers of patents, manuals, pamphlets, publicity materials, etc., developed for the item. Do not submit the actual product.

**Evaluations:** Submit only summary sheets of evaluations for courses/presentations. (Accuracy of the summary is to be verified by the department's review committee.)

Similar reductions of evidence can be used for other items as appropriate to the applicant's materials. However, all items should be available in their entirety for possible request by the APT Committee.

If evidence applies to more than one area, cross-reference in the verification (do not duplicate) in the Activity Summary. The applicant is cautioned that items without verifying evidence, with the exception of the requested reductions, may not be considered in the review.

**SUBJECT:**

**E. Assessment**

**POLICY:**

**The SHP APT Committee shall assess the applicant's activities according to the SHP APT Guidelines (or departmental guidelines if applicable).**

**PROCEDURE:**

- I. The APT Committee Chair schedules assessment completion dates and forwards them, in writing, to the APT Committee members.
- II. The APT Committee Chair initiates the assessment process.
- III. For each applicant, the SHP APT Committee will designate three committee members as primary reviewers to assess the applicant's submitted materials. Other APT Committee members also may review any of these materials.
- IV. An APT Committee member completes the SHP APT Review as follows:
  - a. Reviews the required information
  - b. Evaluates the activities in comparison to the appropriate APT Guidelines.
  - c. Completes the Ballot
- V. The voting procedure to determine the SHP APT Committee's recommendation is outlined in Section II.E. All confidential documents including ballots will be collected by the APT Committee Chair at the end of the meeting and destroyed.

**SUBJECT:**

**F: Additional Procedures for Applicants for Professor**

**POLICY:**

**The SHP Appointment, Promotion and Tenure Guidelines (IV.C) state that:**

Promotion to Professor requires review by at least two external experts in the applicant's discipline. The reviewers shall be at the rank of professor and selected by the APT Committee from a list of nationally recognized leaders in the applicant's discipline. The list will include names provided by the applicant and Chair of the Department. These external experts are not to have recent vested interest in the applicant's work (e.g., co-publications, shared grants, etc.).

**PROCEDURE:**

- For *ad hoc* APT Committee members –

1. The Chair of the APT Committee will ask the applicant for the required list of names of potential committee members.
2. The APT committee will prioritize choices of individuals for 'ad hoc' membership from the list provided.
3. The APT Committee Chair will contact the recommended individuals, in rank order, to determine their willingness to serve in this capacity.
4. When the necessary number of *ad hoc* reviewers have been confirmed, the applicant will be notified of the selected *ad hoc* members.

• For external reviewers –

1. The APT Committee Chair will ask the applicant for the required list of names of potential external reviewers.
2. The applicant will consult with the Department Chair/Program Director concerning the list.
3. The applicant will contact potential reviewers for permission to submit their names and then route the list to the APT committee.
4. The APT Committee will select the persons to serve as external reviewers and send letters to them specifying the dates for review and requesting their acceptance of the responsibility.
5. The APT Committee Chair will notify the applicant of the persons selected as external reviewers.
6. The APT Committee Chair will communicate with the external reviews to confirm their willingness to participate, and if so, to instruct them on use of the SharePoint system.

The cover letter will include the request that the reviewer write a letter evaluating the applicant on the guidelines provided.

The external reviewer's letter will be placed in the applicant's folder on the SharePoint site. APT Committee members will use the information in the letter as evidence in reaching a decision as to whether the applicant meets the guidelines.

**SUBJECT:**

**G: Department Chair/Program Director as Applicant**

**POLICY:**

**The Department Chair/Program Director is expected to submit a letter to the APT committee discussing the merit of the faculty member's application for promotion and/or tenure. When the applicant is a Chair, however, this letter must be written by another individual. The criteria for whom may write the letter are outlined here.**

**PROCEDURE:**

The person writing the letter must be on faculty in one of the three Schools (SHP, SON, SOM) at KU Medical Center.

1. That faculty member must hold at least the rank for which the application is being made.

2. The primary appointment of that faculty member must be outside the Chair/applicant's department.
3. The Chair/applicant bears responsibility for soliciting and obtaining the letter prior to review of the application materials by the SHP APT committee.
4. Early in the process of developing the application materials, the Chair/applicant is encouraged to discuss with the Chair of the APT committee the suitability of faculty members who potentially may write the letter.
5. The letter should focus on assessing the Chair/applicant's role as a faculty member, as defined earlier in this document, rather than emphasizing activities associated with duties of a Chair. This reflects an expectation that the promotion and tenure process evaluates a faculty member's abilities as a scholar rather than administrative abilities.

## V. CONFIDENTIALITY

### SUBJECT:

#### A. Privileged Information

### POLICY:

**It is the ethical practice of the APT Committee to safeguard the information entrusted to its care and clearly to affirm its position in this regard. Through the following position statement, the APT Committee establishes the responsibility of its members.**

### PROCEDURE:

#### I. *Position Statement*

The information about a faculty member received by the members of the Appointment, Promotion and Tenure Committee is an intensive compilation of personal and professional data. The sole purpose of this information is for consideration of faculty appointments, promotion and/or tenure. The faculty must be assured that the information shared with this committee will remain confidential.

This information shall remain "privileged" while under the perusal of the APT Committee for review, evaluation and analysis. Committee members will not divulge information contained within the material submitted.

Further, the position of the APT Committee members is to maintain confidentiality of the review discussion/summaries and the final decision-making toward recommendations from the information

contained therein. After final decision is reached, individual committee member's decisions are summarized by the APT Committee Chair. Worksheets submitted by the APT Committee members are destroyed by the APT Committee Chair. Copies of all correspondence of a confidential nature are to be kept by the APT Committee Chair until a final decision has been made by the Chancellor or until an applicant has exhausted all appeal options. The APT Committee Chair must store these confidential documents in a secure manner, making the materials inaccessible to unauthorized persons.

All information submitted for review, will be kept until the review process is complete. Then the applicant's application will be destroyed upon the official announcement of the promotion/tenure. For the applicant for whom the promotion/tenure is denied the documents will be kept until the appeal process is completed if they choose to appeal, or the deadline for the appeal process has passed.

## VI. PROMOTION AND TENURE APPEAL

### SUBJECT:

#### A. Appealing the promotion or tenure decision

This section provides an overview of the process for appealing promotion and tenure decisions. The appeal procedure is described in full in the Faculty Handbook.

### POLICY:

**The University of Kansas Medical Center is committed to ensuring that proper procedures are followed in reaching a decision to promote and/or award tenure to a faculty person. Accordingly, procedures related to the promotion and tenure decision process exist at three levels in relation to a faculty person's appointment: (a) department affiliation, (b) school affiliation, and (c) the University. While it is expected that appropriate procedures for reviewing a faculty person's academic and scholarly performance will be utilized in the decision process, it is recognized that this may not always occur. Accordingly, a faculty member who asserts that a decision to deny promotion or tenure has been made in violation of established procedures of the University, the school or the department is entitled to appeal.**

### PROCEDURE:

#### Resolution Strategies

There are no informal resolution strategies available for an aggrieved faculty person to attempt reversal of his or her school's decision to deny the aggrieved faculty person either promotion and/or tenure. Rather, the University of Kansas Medical Center Hearing Committee on Promotion and Tenure will become involved once an aggrieved faculty files his or her written appeal of his or her school's decision.

#### Purpose and Jurisdiction of the Promotion and Tenure Appeal Procedure

The procedure is restricted to appeals based only on the grounds that proper procedures were not followed in the decision-making process that resulted in a Dean's recommendation that promotion and/or tenure be denied a faculty person. The improper procedure may have occurred at the level of the aggrieved faculty person's affiliation with his or her department, school, or Dean. Improper procedure may include, but need not be limited to, (a) failure by a department and/or school to follow its guidelines related to the review of a faculty person's academic and/or scholarly performance for promotion and/or tenure purposes, (b) failure by a department and/or school to afford a faculty person full opportunity for academic review, and (c) arbitrary and capricious actions during the review process that could have contributed to the negative outcome in the decision-making process. Individuals who may use this procedure include all individuals with faculty appointments (tenure, tenure track, modified title). The aggrieved faculty person is referred to as the appellant. There is no respondent since this procedure constitutes a review that proper procedure was followed in the decision-making process and not that the appellant was harmed directly by an identifiable faculty person or faculty group.

**Responsibility for Implementation**

The Executive Vice Chancellor has the responsibility for assuring compliance by KUMC with protections afforded faculty in the review of academic and scholarly performance for the purpose of awarding a promotion and/or tenure.

**Timelines**

The date upon which a written appeal from the appellant is received by the Office of the Vice Chancellor for Academic Affairs shall be referred to as the case filing date. Time limits set forth in these procedures may be extended by the Vice Chancellor for Academic Affairs at his or her discretion. The Vice Chancellor for Academic Affairs shall inform the parties when extensions of the time limits are made.

**Filing**

The appellant must file his or her written appeal with the Office of the Vice Chancellor for Academic Affairs within two weeks of the date of receipt of written notification from his or her Dean informing the appellant that his or her promotion and/or award of tenure is denied.

*For questions and updates to this document, please contact the Chair of the SHP APT Committee.*

This document is posted on the following web site <http://www.kumc.edu/Documents/shp/Committees/SHP-APTC-Policies-Procedures-rev-May2020.pdf>