

KU 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 KU School of Health Professions in 2011).

OUTLINE OF DOCUMENT

- | | |
|---|--|
| <p>I. Mission</p> <ul style="list-style-type: none"> A. Promotion B. Tenure <p>II. School of Health Professions APT Committee</p> <ul style="list-style-type: none"> A. Bylaws Authority B. Membership C. Officers D. Responsibilities <ul style="list-style-type: none"> 1. Annual Goals 2. Resource to Faculty 3. Policies and Procedures Update E. Voting <p>III. Schedule</p> <ul style="list-style-type: none"> A. Annual Calendar B. APT Committee Meetings | <p>IV. Guidelines for Promotion and Tenure</p> <ul style="list-style-type: none"> A. Eligibility by Title B. Eligibility by Time C. Eligibility by Performance D. Guidelines for Levels of Activity by Rank E. Revisions <p>V. APT Process</p> <ul style="list-style-type: none"> A. Initiation B. Departmental Review of Application C. Required Materials D. Assessment E. Additional Procedures for Candidates for Professor F. Department Chair as Candidate <p>VI. Confidentiality</p> <p>VII. Promotion and Tenure Appeal</p> |
|---|--|

I. MISSION

The University of Kansas Medical Center (KUMC) 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 School of Health Professions (SHP) Appointment, Promotion and Tenure (APT) Committee is to ensure the quality of its faculty.

SUBJECT: Mandate and Scope of APT Committee Activities

REFERENCE:

[Handbook for Faculty](#) at the University of Kansas Medical Center, revised April 2016.

POLICY:

The APT Committee shall function within the provisions identified in the [Handbook for Faculty](#) at the University of Kansas Medical Center, revised April 2016, 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; "educator", 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 candidates for tenured appointments, 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/discovery/scholarship, and service/administration. 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 their field and related fields and must maintain credentials as a scholar so that they are 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/Discovery/Scholarship. Research, discovery 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 candidate'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/Administration. 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 cases, it is normally expected that two to six years is expected to elapse between appointment as instructor to promotion to assistant professor, five to six years between appointment as 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 candidate'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 luster 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. KUMC, 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 that 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 promotion 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 designee, 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 that are available to each faculty member early in the academic year.

B. Tenure

The tenure regulations approved by the Board of Regents as they appear in the Faculty Handbook are the guiding principle for the tenure process in the SHP.

After the expiration of a probationary period, faculty members on the tenure track should have the right to seek permanent or continuous tenure. Upon the granting of tenure, tenured faculty services should be terminated only for adequate cause, except in the case of a retirement, program or unit discontinuance, or under extraordinary circumstances because of financial exigency. Conditions for the termination are covered in the Faculty Handbook.

1. The University of Kansas subscribes to the 1940 AAUP statement on Academic freedom and tenure and subsequent AAUP amendments and revisions as adopted by the Kansas Board of Regents.
2. For a faculty member with a tenure-track appointment, the probationary period is seven years. For calculation of tenure eligibility, appointment at KUMC will be considered July 1 of the calendar year in which the tenure-track appointment begins. In accordance with Board of Regents policy:

- a. 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.
 - b. The 'tenure clock' may be delayed by one year for the birth, adoptive placement, or adoption of a child under age 5 prior to May 1st of the fifth year of the probationary period. Notification must occur within 90 days of the birth to the institution's chief academic officer. Faculty retain the right to opt out of this interruption policy.
 - c. The 'tenure clock' may be extended by one year prior to the sixth year for unexpected special and extenuating circumstances per request of the faculty member and appropriate dean to the chief academic officer.
 - d. No more than two extensions of the 'tenure clock' may be granted to a faculty member for any reason.
 - e. In exceptional cases, the chief executive officer may hire faculty members with tenure without their having completed a probationary period.
 - f. Tenure shall not be de facto awarded based on the length of time a faculty member has been on the tenure track. Adherence to this policy is a necessary condition precedent to tenure.
3. Although promotion and tenure are separate decisions, a recommendation for promotion to the rank of associate professor will usually be considered also as a recommendation for the award of tenure, if the faculty member is not already tenured.
 4. By September of each year, the Office of the Vice Chancellor for Academic Affairs will distribute to the dean of schools a list of faculty members whose tenure status must be reviewed before the end of the current academic year.
 5. For faculty members on the tenure track, a comprehensive review will be made by the department's Promotion and Tenure Committee at:
 - a. mid-cycle of their tenure-track appointment (by June 30th of the third year). For those faculty hired with prior credit towards tenure, the mid-cycle review shall occur sooner.
 - b. the time formal application for tenure is made.

Full time is defined as one whose appointment indicates 100% time and whose reimbursement, from whatever source, is for 100% time employment at KUMC. 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/discovery/scholarship, and service/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 (applies to all committees); 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 APT Committee shall consist of one member from each department of the School, selected by that department, for a total of eight members.

POSITION STATEMENT:

It is essential that each Committee member fulfill the responsibilities as outlined in Article IV, Section 3A of the Bylaws.

PROCEDURE:

- I. Members should be at the rank of associate professor or full professor (tenured or modified title). Departments can petition the SHP Steering Committee for the inclusion of an assistant professor (tenured or modified title) if no associate professor or full professor is available. Membership may include faculty who are departmental chairs.
- II. Department chairs are to submit the name and rank of the person selected by the department to serve on the APT Committee, to the APT Committee chair by June 30, according to the following rotation schedule:

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

The SHP APT Committee chair will initiate this procedure by requesting from the chairs of the appropriate departments the name and rank of their representative.

- III. 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 does not have a sufficient number of eligible faculty to rotate on the APT Committee this department representative may serve for more than two consecutive terms.
- IV. 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 candidates 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 candidates applying for modified titles at or below that committee member's rank and from the same track (clinical, educator or research track).

- V. When an APT Committee member is unable to fulfill responsibilities, action is determined by the APT Committee chair.
- VI. If vacancies should arise, the vacancy shall be filled by the department whose representative created the vacancy.

SUBJECT:

C. Chair

POLICY:

Chair is elected yearly from within the APT Committee.

PROCEDURE:

- I. A Committee chair is elected annually by the APT Committee. The committee chair can be of any rank or track but must have been a committee member for a minimum of one year before serving as chair. Additional officers and their roles may be established by the APT Committee.
- II. Functions of the APT Committee chair include:
 - a. Establishes annual goals and program of work with APT Committee members.
 - b. Determines meeting schedules.
 - c. Prepares and disseminates the agenda for meetings to all APT Committee members.
 - d. Chairs all meetings or delegates chairing in absence.
 - e. Appoints working subcommittees as necessary.
 - f. Monitors and schedules APT Committee functions and deadlines.
 - g. Serves as representative to SHP Steering Committee.
 - h. Submits and communicates APT Committee reports to SHP Steering Committee.
 - i. Submits and communicates APT Committee reports at SHP faculty meetings.
 - j. Requests funds to support program of work when necessary.
 - k. Acts as official liaison with the SHP Dean concerning APT Committee decisions and recommendations.
 - l. Determines action to be taken when APT Committee member is unable to fulfill responsibilities.
 - m. 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.
 - n. Records and distributes minutes of APT Committee meetings to all members.
 - o. Initiates updating of the APT Committee Policies and Procedures.
 - p. Initiates posting of the updated Policies and Procedures on the web site.

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 SHP faculty.
- 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 Appointment, Promotion and Tenure.

PROCEDURE:

- I. The APT Committee serves as a resource to departmental 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 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 candidates 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.

Revised April 2022

- 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/Activity Summary adopted by the SHP 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 candidates at or below the committee member's rank. APT Committee members with modified titles are eligible to vote on promotion decisions for candidates 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 a candidate being reviewed (to include anyone in the candidate'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 candidate. An introductory statement may be made prior to the review by an 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 candidate.
- IV. If there are fewer than five APT Committee members meeting the voting eligibility criteria outlined in the Membership section above (*section II.B.*), an ad hoc committee will be formed. The ad hoc 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 candidate 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 Candidates for Professor (section V.F.)*
- 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 candidate to attend to procedural matters but will not participate in the 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:

Percentage Vote	Decision
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 candidate 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 by all committee members following assumption of responsibility by newly appointed members.

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

July 1	New members take office
July 15	First Meeting/Chair Elected
August 1	<p>By this date:</p> <ul style="list-style-type: none"> • APT Committee chair requests from the Faculty Affairs office information regarding (a) mandatory tenure review, (b) mid-cycle (third year) comprehensive review for tenure track faculty and (c) post-tenure review • APT Committee chair sends notice to department chairs, requesting that they submit the <i>APT Notice of Intent</i> document to the APT Committee chair by September 1st if they have faculty members (candidates) that intend to apply for tenure and/or promotion that year • APT Committee chair requests the Dean's Office representative (typically, the SHP Human Resources, Academic, and Business Officer) to provide information on new faculty hire that are to undergo pre-review to the APT Committee chair as soon as the candidate has been selected for a position. <p>APT Policies and Procedures Review / Revisions begin</p>
September 1	<p><i>APT Notice of Intent</i> document due to APT Committee chair</p> <p>Chair notifies department chairs who have tenure track faculty to undergo mid-cycle comprehensive review by June 30</p>
September 5	Names of external reviewers due to APT Committee chair from candidates for promotion to Professor
2nd Friday of September	Chair notifies department chair and faculty requiring post-tenure review

September 15	<ul style="list-style-type: none"> • Ad Hoc Committee Members and External Reviewers for promotion to professor Selected by APT Committee and Contacted • Goals, Program of Work, Resource Needs Identified / Conveyed to Dean • Suggested deadline for submission of materials by candidates to department chair and /or departmental APT committee for review
Fall Faculty Meeting	Report Regarding Program of Work
October 15	Suggested deadline for completion of departmental APT reviews and notification to candidate regarding recommendations from the department
November 1	Deadline (5 pm) for submitting materials to APT Committee SharePoint site including letters from the departmental APT Committee and the department chair
November 15	Deadline for letters from External Reviewers for promotion to professor
December 15	Final recommendations related to award of tenure and/or promotion of tenured or tenure track faculty due to Dean
January 15	Post-tenure review materials due to APT Committee
February 1	APT Policies and Procedures Review / Revisions Continue
March 1	Final recommendations related to promotion of faculty with modified titles and post-tenure review outcome due to Dean
Spring Faculty Meeting	Report Regarding Program of Work Progress
May 15	APT Committee chair requests that relevant departments name the next year's representative to the APT Committee
June 30	APT Committee Policies and Procedures Review / Revisions complete Completion of APT Committee Program of Work APT chair is notified by respective department APT committee that required mid-cycle review completed Chair stores 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 workday 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 SHP Appointment, Promotion and Tenure Committee is to assure the quality of the School's faculty in research/discovery/scholarly activity, teaching and service/administration subject to and in accordance with the Faculty Handbook.

POLICY: Appointment

Reviews:

All appointments (modified or unmodified) 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 faculty who are 100% employed by KUMC and have a 50% or greater appointment in the SHP 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 promotion for 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 SHP. 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 SHP.

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

Academic Titles	Appointment	Promotion	Tenure
A. Tenure track or Tenured			
1. Instructor	-	+	-
2. Assistant Professor	+	+	+
3. Associate Professor	+	+	+
4. Professor	+	-	+
B. Modified Titles (Clinical, Educator or Research)			
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. Full-time 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 candidate’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 candidate’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 SHP web page for the Appointment, Promotion and Tenure Committee [<https://www.kumc.edu/school-of-health-professions/about/faculty-committees-and-meetings/promotion-and-tenure.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 or five years is recommended (depending on rank) before such consideration as described in the section I, Length of Time in Grade above.

The APT Committee's evaluations for promotion will be based on all of a candidate’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 a candidate’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 candidate shall meet the performance guidelines for teaching, research/scholarly activity and service for the proposed rank.

Procedure for pre-review of newly hired faculty

The SHP APT Committee will review any new appointment on a promotable track, including those designated with unmodified or modified titles, or those to the tenure track. It is important for the APT

Committee to provide input regarding whether appointment to the proposed role is appropriate. The APT Committee recommendations for new hires to specific ranks and tracks will support consistency across the School.

When reviewing new hires, the APT Committee will evaluate different elements in the available materials (CV, letter describing responsibilities of the role) to assess the individual's likelihood for success in a timely meeting of criteria for promotion and/or tenure, or to whether there may be potential for concern. For example, a proposal to hire a faculty member on the tenure track who provides no documentation of teaching or of research experience.

The APT Committee may request a letter from a department chair if additional information is needed; or to have the chair or chair's designee attend the APT Committee meeting when the discussion on a new hire takes place. In the process, the APT Committee should be sensitive to requiring as little additional effort as is practical on the part of department chairs.

The APT Committee review also should not delay the hiring process, instead aiming at quick turnaround in order not to lose valuable candidates. The APT Committee chair will ask the department chair to provide a preferable timeline for the review completion. Review and discussion will take place during a committee meeting if possible. However, if timing is an issue, review and discussion may be conducted virtually. If needed, an *ad hoc* meeting can be called.

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

For Tenure: The candidate 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 also as a recommendation for the award of tenure, if the faculty member is not already tenured.

D. GUIDELINES FOR LEVELS OF ACTIVITY BY FACULTY RANK

Position Statements:

It is recognized that all actions of the APT Committee 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 SHP guidelines. If the departmental guidelines exceed these SHP 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 SHP APT Committee and the Dean. SHP guidelines were developed assuming a 40/40/20 % time allocation for Teaching, Research/Discovery/Scholarship, and Service/Administration, respectively. The APT Committee will consider each candidate's effort distribution as specified by their department when evaluating the candidate'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 SHP.

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 candidate's activity. Because effort distributions vary widely across individuals, the APT Committee recognizes that some guidelines will not apply to everyone.

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, the number of students 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 Guidelines/Activity Summary Forms posted on the SHP web page for the Appointment, Promotion and Tenure Committee [<https://www.kumc.edu/school-of-health-professions/about/faculty-committees-and-meetings/promotion-and-tenure.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 and (c) post-tenure review.
- II. By August 1, a call is sent out to department chairs, requesting that they notify the APT Committee chair by September 1, by submitting the *APT Notice of Intent* document, if they have faculty members (candidates) 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 30th of the third year). For those faculty hired with prior credit towards tenure, the mid-cycle review shall occur sooner (from Faculty Handbook).

PROCEDURE:

- I. The departmental APT Committees and their procedures shall be established in accordance with the decision-making procedures of the department.
- II. The departmental APT 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 occurs 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 Faculty Handbook.

PROCEDURE:

- I. The departmental APT committees and their procedures shall be established in accordance with the decision-making procedures of the department.
- II. * The departmental APT 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 committee's opinion on whether the candidate'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 chair, to be included in the candidate's materials, and at the discretion of the departmental committee may be copied to the department chair.

III. * The responsibilities of the department chair 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 their 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 recommends or does not recommend the candidate's request for promotion/tenure.
 - ii. An evaluation of the candidate'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 is being considered, the writing of this letter is governed by criteria outlined in "section V. The APT Process, G. Department Chair as Candidate."
- c. To notify the candidate in writing of their recommendation for promotion/tenure. If the candidate requests the reasons for the recommendation, the department chair will communicate the information to the candidate in a personal interview or in writing.
- d. To send an electronic copy of the department chair's letter to the APT Committee chair, to be included in the candidate's materials.

- IV. If a faculty member is not recommended by the departmental APT Committee and/or chair, the faculty member can request in writing to the department chair 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 candidate is responsible for submitting the required materials as instructed by the APT Committee web site. The candidate 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 candidate 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 prepares

- A. Letter outlining responsibilities and percentage of effort in teaching, research/discovery/scholarship and service/administration
- B. Curriculum Vitae

II. *For promotion/tenure.*

- A. Candidate Data Sheet
- B. Letters from the departmental APT committee and department chair. NOTE: The “letter from the department chair” must be written by a person other than the department chair if that chair is the individual being considered for promotion or tenure; *please refer to section V. The APT Process, G. Department chair as Candidate*” 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 candidate’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.
- e. **Other:** (as appropriate)

RESEARCH/DISCOVERY/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/ADMINISTRATION

- a. **Program Activities:** Statement from department chair, 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 candidate'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 candidate 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 candidate'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 candidate, the SHP APT Committee will designate three committee members as primary reviewers to assess the candidate'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 Candidates 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 candidate'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 candidate's discipline. The list will include names provided by the candidate and chair of the department. These external experts are not to have recent vested interest in the candidate'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 candidate 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 candidate will be notified of the selected *ad hoc* members.
- For external reviewers –
 1. The APT Committee chair will ask the candidate for the required list of names of potential external reviewers.
 2. The candidate will consult with the department chair concerning the list.
 3. The candidate 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 candidate 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 candidate on the guidelines provided.

The external reviewer's letter will be placed in the candidate 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 candidate meets the guidelines.

SUBJECT:

G: Department Chair as Candidate

POLICY:

The department chair 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 candidate 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/ candidate's department.
3. The chair/ candidate bears responsibility for soliciting 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/ candidate 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/ candidate'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.

6. The letter should be submitted directly to the APT Committee chair by the person who wrote the letter.

VI. 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 APT 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 a candidate 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 candidate's application will be destroyed upon the official announcement of the promotion/tenure. For the candidate 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.

VII. 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:

KUMC 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 their school's decision to deny the aggrieved faculty person either promotion and/or tenure. Rather, KUMC Hearing Committee on Promotion and Tenure will become involved once an aggrieved faculty files the faculty's written appeal of their 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 their 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 their discretion. The Vice Chancellor for Academic Affairs shall inform the parties when extensions of the time limits are made.

Filing

The appellant must file their 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 their promotion and/or award of tenure is denied.

Revised April 2022

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