APPOINTMENT, PROMOTION, TENURE COMMITTEE

The APT Policy and Procedure Manual was originated by the 1982-1983 Appointment, Promotion & Tenure Committee of the KU School of Allied Health.

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I. MISSION

SUBJECT: Mandate and Scope of Committee Activities

REFERENCE:
"Handbook for Faculty & Other Unclassified Staff," the University of Kansas Medical Center, March 1997.

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.

GUIDELINES AND CRITERIA FOR TENURE, PROMOTION AND APPEALS
The University of Kansas was established by the citizens of the State of Kansas to provide a distinguished institution of higher learning for its people. Over the years, the University has established a reputation for excellence in teaching, in scholarship, and in service to the people of the State of Kansas and the United States. 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 awarding of tenure 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 appointment, beginning at the departmental level and moving through channels to the University level, must at all levels 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, especially those which normally lead to a tenured appointment.

The criteria for tenure and 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 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, or schools where departments do not exist, 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 teacher 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 teacher should be enthusiastic about the particular discipline and should be able to communicate this enthusiasm to the students, thus stimulating both the teacher and the students to greater achievement. The University prides itself on having exceptional teachers whose merit and service to the University earn them a well-deserved place of honor and respect in our institution. But this criterion alone, to the exclusion of consideration of other criteria, does not serve as a basis for promotion and tenure.

Research and scholarship have several purposes for the teacher. They help maintain the competence of the teacher in the discipline. They are a service to the profession and to society. A teacher's accomplishments and contributions as a scholar bring vital recognition to the University, as well as to the individual. The University exists to create, preserve, and transmit knowledge. The creative process--scholarly productivity--is an integral and indispensable part of the University as an educational institution. As has already been noted, 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 teacher, 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. Publication in in-house media and non-refereed journals is also valued but does not carry as much weight. 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 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. 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, but these activities are insufficient of themselves.

In terms of research, award of tenure, 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. As in the case of service and teaching, excellence in research alone is not sufficient to ensure promotion.

Service is of several kinds. Intramural service, such as academic advising, is expected of every faculty member. It is part of being a good citizen and participating member in the community--in this instance the academic community. Professionally related 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 in turn makes possible greater visibility for the University. Outreach activities are not necessarily restricted to service but may contribute to any of the areas of faculty endeavor. In the Health Sciences, 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 and the better 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. 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 promotion from instructor 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 candidate's meeting the criteria enumerated above. A recommendation for promotion earlier than 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, but rather 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.

I. Promotions

Promotion to assistant professor, associate professor, or professor is made on the basis of meritorious performance. The performance areas considered are teaching, research, and service. The University at all times seeks to attract, retain, and reward the faculty member who consistently performs effectively as a teacher-scholar. In addition, the University 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 such 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 separate promotions and tenure committees of the two campuses of the School of Medicine, the School of Nursing, or the School of Allied Health. These committees make their recommendations to the respective deans, whose recommendations are forwarded to the Deans Committee who in turn forwards their recommendation to the Executive Vice Chancellor. The Executive Vice Chancellor' recommendations are then sent to the Chancellor, and the Board of Regents.

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.

II. 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, teachers 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.

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 teacher before the appointment is consummated.

    b. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that his new appointment is for a probationary period of not more 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; except when the interests of both parties may best be served by mutual agreement at the time of initial employment, institutions may agree to allow for more than four years of probationary service at the employing institution provided the probationary period at that institution does not exceed seven years. Notices should be given at least one year prior to the expiration of the probationary

period, if the teacher 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).

c. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.

d. Termination for cause of a continuous appointment or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by a faculty committee which will make recommendations to the administration. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges against him and should have the opportunity to be heard in his own defense by all bodies that pass judgment upon his case. He should be permitted to have with him an advisor of his own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers and other scholars, either from his own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

e. Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

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

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

4. Lists of individuals recommended by the chief executive officer at the Regents' institution for tenure shall be submitted by the chief executive officer of that institution to the Board for consideration and action at its April meeting. Any tenure recommendations approved by the Board shall be limited to tenure for the recommended individual at the institution consistent with the tenure policies of that institution.

5. The provisions of this policy shall be applicable only to faculty of baccalaureate degree granting institutions. (4-18-47; 2-15-80; 5-15-81; 4-16-82; 1-20-84).

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 teacher 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 candidate 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.

Part time service to the University in teaching, research, and administration does not count toward tenure. 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. As noted in the Faculty Handbook, faculty appointments can be made with immediate tenure only under exceptional circumstances. The following guidelines should be used by the AP& T Committee to determine whether exceptional circumstances exist:

1. Immediate tenure should be considered only when there is significant/sustained evidence that the candidate’s performance/productivity will continue to equal or exceed the standards for the appointment rank as defined by the candidate’s department and the SAH.

2. Offers of immediate tenure should generally be reserved for individuals who already have tenure in their current institution.

3. Immediate tenure should not be offered as an inducement to assist in recruitment but extended in recognition of a record of sustained and distinguished productivity.

4. The department offering the new position should consider the possibility of offering tenure with the appointment when the position vacancy and qualifications are first developed rather than after the recruitment process has begun. The possibility of offering tenure could then be discussed based on the qualifications required of the position and the possible applicant pool. This would be especially important in cases of recruitment of Departmental Chairs or individuals to fill Distinguished Chairs.

The following are the procedures and policies on tenure for the University of Kansas Medical Center.

III. Procedures for Recommendations for Promotion, Award of Tenure, Notice of Non-Reappointment

A. Promotion

1. In the fall of each year, a committee or committees within each department (unless the context otherwise requires, the word "department" shall be read as "school" where a school has no departmental organization) shall review the qualifications and performance of all members of its faculty below the rank of full professor, excepting only those who joined the faculty or were promoted that year, with a view toward possible advancement in academic rank. The committees, and their procedures, shall be established in accordance with the decision-making procedures of the department. All members of the faculty subject to review shall be informed that the review is to be undertaken and shall be advised that they are entitled to submit materials to substantiate their qualifications. The decision concerning the faculty member which results from the review shall be officially communicated to the faculty member, in a personal interview or in writing, if requested by him/her. Each department shall make known to its faculty the criteria for evaluation (which need not be identical in all departments), including its policy, if any, concerning relative importance to be assigned to each criterion.

2. If the appropriate committee determines that recommendation for promotion is in order, the standard forms shall be used to frame the recommendation, with appropriate supporting materials. A notification from the Dean's Office will go to all members of the faculty early each fall advising of dates by which such recommendations must reach the appropriate Dean's Office.

3. The same notice will also indicate a date by which recommendations for promotion prepared by an individual faculty member are to reach the appropriate Dean's Office. An individual faculty member shall always be entitled to recommend himself or herself, or others, for promotion, outside the regular departmental review procedure. Such recommendations will be referred back to the appropriate departmental committee established in A.1 above, for evaluation and comment. Regardless of the nature of the evaluation and comment, such recommendations, together with the evaluation and comment, shall then be forwarded in writing in the same manner as provided for recommendations arising from the regular departmental review procedures. A faculty member recommended for promotion under this Subsection shall be entitled to the same evaluation communication by personal interview and, if requested, in writing as specified in A.1 above.

4. In schools having departmental structure, departmental recommendations for promotion shall be forwarded to the appropriate committee(s) of the school. The Chairperson of the department shall individually indicate, and forward with each recommendation, his or her concurrence or non-concurrence, together with such comments as he or she may wish to add. School committee(s), and their procedures, shall be established in accordance with the decision-making procedures of the school.

5. If the appropriate committee of the school recommends promotion, the recommendation shall be forwarded to the appropriate Dean, who, if he or she concurs, shall forward it to the Committee of Deans. The recommendation of the Committee of Deans is then forwarded to the Executive Vice Chancellor (or designee). The recommendations must then be approved by the Board of Regents before it becomes effective. If a promotion is denied at the school level, the faculty member shall be informed in writing by the appropriate Dean, He or she may forward his or her promotion file to the

University of Kansas Medical Center Appeals Committee for consideration. The Committee will concentrate on procedural issues to determine if the faculty member has been afforded appropriate review as defined in the Handbook for Faculty and Other Unclassified Staff and the School and Departmental Promotion and Tenure Guidelines. All recommendations reaching the College Appeals Committee shall indicate the opinions of both the Dean and the school committee.

6. The addition of material to the file by the faculty member involved, or by others, at any time prior to or during review by the Appeals Committee, shall always be permissible. The Appeals Committee shall make their recommendations to the Committee of Deans.

7. The Board of Regents normally acts on promotions and/or tenure once a year, and all promotions and/or tenure become effective with the faculty member's next regular appointment (i.e., academic fiscal year).

B. Tenure

1. The University of Kansas subscribes to the 1940 AAUP statement on academic freedom and tenure or such amendment or revision by the AAUP as adopted by the Kansas Board of Regents.

2. Although promotion and tenure are separate decisions, all recommendations for promotion to the rank of associate professor will usually be considered also as recommendations for the award of tenure, if the faculty member is not already tenured.

3. Prior to the beginning of the spring semester each year, the office of Academic Affairs will distribute to the deans of schools a list of faculty members whose tenure status must be reviewed before the end of the current academic year.

4. Such review, as well as otherwise prompted review for the granting of tenure, shall be conducted in conformity with such portions of the internal procedures for promotion set out in Section A as may readily be applied to any such review.

C. Academic Appeals

1. The College Appeals Committee shall exist to consider individuals for promotion and/or tenure who have been denied recommendation at the school level. The Committee shall consist of seven (7) voting faculty members and the Executive Vice Chancellor (or designee) of the University of Kansas Medical Center who shall be entitled to vote in case of a tie. Faculty members serving on this committee must be tenured and hold the highest professional rank in their respective schools. The Faculty Assembly Steering Committee shall appoint faculty members who have been (but are not currently) members of the four promotion and tenure committees of the three schools (one from each of the committees) plus three additional faculty members, one from each of the three schools.

2. The recommendation of the College Appeals Committee is transmitted to the Committee of Deans, which acts in an advisory capacity to the Executive Vice Chancellor (or designee). Each recommendation must then be approved by the Executive Vice Chancellor, the Chancellor and finally the Board of Regents before it becomes effective. The Chancellor's recommendations are not made public until they have been approved by the Board of Regents. Official notifications are made to those affected by the Executive Vice Chancellor (or designee). In cases of denial of promotion, the reasons for denial shall also be officially communicated to the faculty member and done so in writing, upon request from that faculty member.

II. SCHOOL OF ALLIED HEALTH DOCUMENTS

SUBJECT:

A. Bylaws Authority

REFERENCE:

Bylaws, School of Allied Health, Article IV.: Section 1, and Section 4.

POLICY:

The APT Committee shall function under the Bylaws, School of Allied Health, Article IV.: Standing Committee; Section 1: General Rules; Section 4: Appointment, Promotion & Tenure Committee.

POSITION STATEMENT:
The bylaws empower this committee to establish and enforce standards for the assurance of high quality faculty.

SUBJECT:

B. SAH APPOINTMENT, PROMOTION AND TENURE GUIDELINES

Adopted by the Faculty of the School of Allied Health - November, 1997

I. APT COMMITTEE REVIEW POLICIES:

PURPOSE:
The purpose of the School of Allied Health 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:

Appointment Reviews: All tenure track appointments or transfers at or greater than the level of assistant professor are evaluated by the Committee. All tenure track faculty with non-prefixed titles who are 100% employed by KUMC and have a 50% or greater appointment in the School of Allied Health are also evaluated by the Committee. 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.

Information Reviews: Academic appointments or transfers with prefixed titles (e.g., clinical and research) or non-prefixed titles not on tenure track are submitted to the Committee for review. Results of the review are recorded in the APT minutes and passed on to the Dean and to the Chair of the relevant Department. These reviews play no formal role in the appointment process and may even occur after a decision to appoint has been made.

Promotion:

Promotion Reviews: The Committee evaluates full-time tenure track faculty with non-prefixed titles and tenure track faculty with non-prefixed titles who are 100% employed by KUMC and have a 50% or greater appointment in the School of Allied Health.

Information Review: The committee reviews recommendations for promotion of faculty with prefixed titles (e.g., clinical and research) or nonprefixed titles not on tenure track. Results of the review are recorded in the APT minutes and passed on to the Dean and to the Chair of the relevant Department. These reviews play no formal role in the promotion process and may even occur after a promotion has been made.

Tenure:

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

B-1. ELIGIBILITY BY TITLE FOR EVALUATION BY THE SCHOOL OF ALLIED HEALTH APPOINTMENT, PROMOTION, AND TENURE COMMITTEE

Regular Academic Titles	Appointment	Promotion	Tenure
A. Full-time			
1. Instructor	N/A	+	N/A
2. Assistant Professor	+	+	+
3. Associate Professor	+	+	+
4. Professor	+	N/A	+
B. Part-time*			
1. Instructor	N/A	+	N/A
2. Assistant Professor	+	+	+
3. Associate Professor	+	+	+
4. Professor	+	N/A	+
Academic Titles without Prefix			
1. Assistant Professor	-	-	N/A
2. Associate Professor	-	-	N/A
3. Professor	-	N/A	N/A

Academic Titles with Prefix	Appointment	Promotion	Tenure
A. Clinical/Research			
1. Instructor	N/A	-	N/A
2. Assistant Professor	-	-	N/A
3. Associate Professor	-	-	N/A
4. Professor	-	N/A	N/A
B. Adjunct/Courtesy			
1. Instructor	N/A	-	N/A
2. Assistant Professor	-	-	N/A
3. Associate Professor	-	-	N/A
4. Professor	-	N/A	N/A
Other Faculty Titles			
A. Teaching Associate	N/A	N/A	N/A

Key		
	+	Yes Evaluation
	-	Informational Review Only
	N/A	Not applicable
	*	Part-time: 100% employment at KUMC with 50% or greater in SAH

See Faculty Handbook for definition

B-2. ELIGIBILITY BY TIME FOR PROMOTION AND/OR TENURE

For Promotion:

Individuals may be evaluated at any time following their appointment at K.U., although a minimum of two years is recommended before such consideration. *Faculty Handbook, page 23.*

The Committee's evaluations for promotion will be based on all of a candidate's professional history with emphasis on performance at K.U. Greater emphasis will be placed on the materials developed since the last promotion.

For Tenure:

Individuals may be evaluated at any time following their appointment at K.U. 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 Committee's evaluation for tenure will be based on all of a candidate's professional history as well as performance while at K.U.

B-3. 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 requires review by at least two external experts in the candidate's discipline. The reviewers shall be selected by the 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. Faculty in the tenure track who lack the doctorate are advised to actively pursue graduate study in a degree program.

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. *KUMC Faculty Handbook pg. 27.*

B-4. 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 Handbook for Faculty and Unclassified Staff. 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 Allied Health Guidelines. If the departmental guidelines exceed these School of Allied Health 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 Allied Health APT Committee and the Dean. Both departmental and SAH guidelines shall be based on a 40/40/20 % time allocation for Research/ Scholarly, Teaching, and Service, respectively.

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., chairman of a department. **** See below***

A. Guidelines for Research/Scholarly Performance

All tenure track faculty are expected to participate in research/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. The expectations of tenure track faculty for research/scholarly activity are as follows.

Instructor/Assistant Professor

1. Instructor holds a Bachelor's or Master's degree. Asst. Professor holds at least an earned Master's degree.
2. Engages in dissertation or other research activities.
3. Produces on the average, one scholarly publication in refereed journals every three years.*****
4. Develops area(s) of acknowledged expertise ***(a)*** appropriate to specialty.
5. Makes at least one scholarly presentation ***(b)*** at state and/or national meetings every three years.
6. Maintains continuing technical/scientific/clinical competence as appropriate.

Associate Professor

1. Holds at least an earned Master's degree.
2. Publishes on the average at least one scholarly publication every year in refereed journals.
3. Recognized regionally for some area of expertise ***(a)***.
4. Makes, on average, at least one scholarly presentation ***(b)*** a year at state and national meetings.
5. Applies for external funding for support of research/ scholarly activity.
6. Maintains continuing technical/scientific/clinical competence as appropriate.

Professor

1. Holds an earned doctorate.
2. Publishes on the average more than one scholarly publication per year in refereed journals.*****
3. Recognized nationally and/or internationally in some area of expertise ***(a)***.
4. Makes, on average, at least one scholarly presentation ***(b)*** a year at national/international professional meetings.
5. Applies for external funding for research/scholarly activities.
6. Maintains continuing technical/scientific/clinical competence as appropriate.

(a) and (b) ***see addendum***

****Faculty member should make a major contribution to the publication (as documented).***

B. Guidelines for Teaching Performance

Teaching is a basic mission of the university. All faculty are expected to demonstrate and maintain teaching excellence. 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. The expectations of tenure track faculty for teaching are as follows.

Instructor/Assistant Professor

1. Assumes primary responsibility ***(c)*** for course management in classroom and/or clinical courses.
2. Demonstrates teaching excellence ***(d)*** through peer/mentor evaluation and student evaluation if prior teaching experience.
3. If the opportunity is available in the program, serves as committee member on research projects/thesis/dissertations and provides supervision for student research.

Associate Professor

1. Provides leadership in course development and implementation and participates in curriculum development.
2. If the opportunity is available in the program, serves as committee member on research projects/thesis/dissertations and provides supervision for student research.
3. Supervises students for independent studies, special projects, honor activities (non-research), etc.
4. Demonstrates teaching excellence **(*d*)** through peer and student evaluation.
5. Develops innovative, effective teaching materials or approaches.

Professor

1. Provides leadership in course development and implementation and curriculum development.
2. If the opportunity is available in the program, chairs or provides leadership on graduate research projects/thesis/dissertations and supervises student research activities.
3. Supervises students for independent studies, special projects, honor activities (non-research).
4. Demonstrates teaching excellence ***(d)*** through peer and student evaluation.
5. Develops and implements innovative, effective teaching materials or approaches.
6. Serves as mentor ***(e)*** to faculty members.

c, d, e ***see addendum***

C. Guidelines for Service Performance

It is expected that all faculty are involved in service roles within the University, the profession, and the community ***(f)***. The expectations of tenure track faculty for service are as follows.

Instructor/Assistant Professor

1. Serves as member on standing department, school, medical center or university committee.
2. Maintains membership in professional organizations and attendance at professional meetings at the local, state, or national level.
3. Takes part in providing professional/continuing education programs at local meetings.
4. Collaborates or consults with local providers (agencies, hospitals, clinics, non-profit agencies, etc.) appropriate to the professional discipline.
5. Works with administrators, faculty and students in furthering the mission and goals of the university, medical center, school and department.

Associate Professor

1. Demonstrates emergent leadership on department, school, medical center or university committees.
2. Provides leadership in professional organization(s) at the local or state levels.
3. Takes part in providing professional/continuing education programs at state or regional meetings.
4. Collaborates or consults with local/regional providers (agencies, hospitals, clinics, non-profit agencies, etc.) appropriate to the professional discipline.
5. Works with administrators, faculty and students in furthering the mission and goals of the university, medical center, school and department.

Professor

1. Demonstrates exemplary leadership on department, school, medical center or university committees.
2. Provides leadership within professional organizations at the regional, national or international levels.
3. Provides professional/continuing education programs at state, regional, national, international meetings.
4. Collaborates or consults with local/regional/national providers (agencies, hospitals, clinics, non-profit agencies, etc.) appropriate to the professional discipline.
5. Serves as an external reviewer for manuscripts or grants.
6. Works with administrators, faculty and students in furthering the mission and goals of the university, medical center, school and department.

(f) ***see addendum***

Addendum to Guidelines for Research/Scholarly Activity

a. **Area of expertise:** An area of content in which the faculty member's consultation is sought by other scholars, governmental or professional agencies (e.g., invited presentation, external program reviewer).

b. **Scholarly presentation/publication:** A presentation/publication based on the scholarship of discovery, the scholarship of integration, or the scholarship of application. This may include textbooks, videos, chapters in books, software, poster sessions, etc.

Refereed journal: A refereed journal means, at a minimum, that it is cited in an index appropriate to the discipline and is scholarly in the opinion of the faculty members' peers in the profession.

The dissertation will be accepted as a publication.

Addendum to Guidelines for Teaching

c. Primary Responsibility for Course Management: Plans and organizes the learning experiences for an existing theoretical and/or clinical course and/or coordinates a course in collaboration with other faculty with an awareness of the total curriculum.

d. Excellence as a Teacher: Effective functioning in the classroom or clinical setting and in the various aspects of course development and management, student advisement, coordination of courses with the curriculum. Competence is

evaluated by students and peers.

e. Faculty mentor: Faculty member who guides and assists inexperienced faculty as they adapt to the faculty role.

Addendum to Guidelines for Service

f. Community service activities must relate to the faculty member's professional discipline and area of expertise.

B-5. 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 tenured and tenure track faculty.

III. COMMITTEE DEFINITIONS

SUBJECT:

A. Membership

POLICY:

The Membership shall consist of eight elected full-time faculty members who are tenured and above the rank of Assistant Professor in the School of Allied Health.

POSITION STATEMENT:

It is essential that each Committee Member fulfill the responsibilities as outlined in Article IV, Section 4, B.

PROCEDURE:

I. Departments are to submit the name of the person elected by the department by July 1, according to the following rotation schedule:

Elect in even years	**Elect in odd years**
Dietetics & Nutrition	Clinical Laboratory Sciences/Cytotechnology
Nurse Anesthesia	Hearing and Speech
Occupational Therapy	Physical Therapy & Rehabilitation Sciences
Health Indo. Management	Respiratory Care

Comment: Several changes here :
1)Biometry member removed
2) OT & CLS appointment terms swapped to balance the committee membership in alternate years with respect to tenured members.

II. The SAH APT Committee will initiate this procedure by requesting from the appropriate departments the name and rank of their representative. The procedures specify that departments can petition the inclusion of a tenured assistant professor if no associate professor or tenured full professor is available. However, no more than three assistant professors shall be on the committee. If more than three assistant professors are elected, the SAH Steering Committee will be notified to resolve the issue. Departments without tenured faculty may elect a representative who shall have voice but no vote on the committee. Membership may include faculty who are departmental chairpersons. Members shall have terms of two years. A faculty member may serve on the Committee many times, but no more than two consecutive terms.

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

IV. If vacancies should arise after the annual election, the vacancy shall be filled by the department that created the vacancy. The department that no longer has a Committee Member shall hold an election and submit the name of the person who will fill the unexpired term to the Appointment Promotion and Tenure Committee Chairperson.

SUBJECT:

B. Officers

POLICY:

Officers are elected yearly from within the Committee

PROCEDURE:

I. The number of officers is determined by the Committee. A chairperson and a secretary are the minimal officers requirements.

II. Officers are determined by the Committee at its first meeting of the year as follows:
   A. Nominations are solicited from the floor. Self-nomination is encouraged.
   B. The nominee must be willing to serve.
   C. Voting is conducted by secret ballot with a simple majority determining the outcome.

III. Functions of the APT chairperson include:
   A. Determines meeting schedules

B. Prepares and disseminates the agenda for meetings to all committee members,
C. Chairs all meetings or delegates chair in absence,
D. Retains the Master Policies and Procedures Manual,
E. Appoints working subcommittees as necessary.
F. Monitors and schedules committee functions and deadlines,
G. Submits and communicates committee reports at faculty meetings,
H. Establishes annual goals and program of work with committee members,
I. Requests funds to support program of work when necessary,
J. Acts as official liaison with the Dean of the School of Allied Health concerning committee decisions and recommendations,
K. Determines action to be taken when committee member is unable to fulfill responsibilities,
L. Maintains permanent file including, but not limited to, minutes of meetings, correspondence of a non-confidential nature, and other materials at the discretion of the chairman.

IV. Functions of the secretary include:
A. Records and distributes minutes of committee meetings to all members.
B. Collects and updates all Policies & Procedures.

SUBJECT:

C-1. Responsibilities: Annual Goals

POLICY:

Goals shall be established and reviewed annually by the 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 committee activity reports to the faculty of the School of Allied Health.
III. Requests for resources required to achieve goals are directed to the Dean in writing via the Committee Chairperson.

SUBJECT:

C-2. Responsibilities: Resource to Faculty

POLICY:

The Committee is a primary resource to Faculty of the School of Allied Health 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 Program Directors/Department Chairpersons to recognize APT criteria in evaluation of their faculty's progress.
IV. The APT Committee requests Departments to provide departmental criteria for appointment and promotion for the non-tenure track ranks to be used in the informational reviews conducted by the Committee.

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:

C-3. Responsibilities: Policy Update

POLICY:

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

PROCEDURE:

I. The Policies and Procedures Manual is available through the SAH web page.
II. The Policies and Procedures identify how the APT committee fulfills its functions.
III. All revisions of policies and procedures must be approved by simple majority voice vote of the committee members. Approval is indicated by APT Committee Chairperson's signature.
IV. It is the responsibility of the Secretary of this Committee to see that the Manual on the web is updated, as required.
V. All faculty of the School of Allied Health must be informed of policies and procedure changes affecting the APT process as they occur.

SUBJECT:

D. Voting

POSITION STATEMENT:

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

PROCEDURE:

Voting - Operational aspects

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

Voting - Appointment, Promotion, Tenure

I. Committee decisions regarding the appointment, promotion and/or tenure recommendations are based on the Appointment, Promotion and Tenure Guidelines adopted by the School of Allied Health Faculty Assembly.
II. Tenured committee members shall vote on all tenure considerations, for the same or lesser rank considerations for tenure track appointments, and for the same or lesser rank considerations for promotion.
III. Any 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 a Committee member who is ineligible to participate otherwise. That member must excused during the Committee's subsequent discussion, deliberations, and voting for this candidate.
IV. If there are fewer than five committee members at or above the rank for which an individual has applied, sufficient numbers of additional faculty at or above that rank shall be identified to complete a five-person committee. Additional committee members may be from the SAH 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 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***
V. If the Chairperson of the APT Committee is below the rank for which application is made, the Chairperson will be present at the discussion/vote on the applicant to attend to procedural matters, but will not participate in the discussion/vote.

Comment: The "introductory statement" phrase has been added to acknowledge that the Committee may have questions or require clarification that can only be provided by the excused member. Allowing the excused member to provide an introductory statement but not allowing further interaction with deliberations is intended to facilitate the process.

VI. 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

Ballots from committee members eligible to vote (officers are eligible to vote) are collected and the results compiled by the Committee Chairperson.

VIII. The Committee's written recommendation is forwarded to the Dean via the chairperson.

IX. Committee representatives meet with the Dean to discuss the rationales supporting the recommendations per applicant for promotion/tenure.

IV. SCHEDULE

SUBJECT:

A. Annual Calendar

POLICY:

The 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. Annual Calendar:

JULY 01	New members take office.
(Second week)	Officers Elected / First Meeting Chair Contacts Faculty Record for Faculty coming up for Mandatory Tenure Review.
(Third week)	Chair Contacts Department Chairs by Letter to Obtain Information Concerning Review Process for the Following Faculty Categories: a. Mandatory Tenure Review b. Third Year Tenure Track Review c. Voluntary Tenure Review d. Promotion Review
AUGUST (Second week)	Goals, Program of Work, Resource Needs Identified / Conveyed to Dean. Letter Sent to Full-Professor Applicant / Chair Requesting Names to be Submitted for Ad Hoc Committee Members and External Reviewers.
(Mid August)	Verify schedule with Dean prior to Faculty notification.
SEPTEMBER (First Week)	Faculty Notification of Fall APT Deadlines. Ad Hoc Committee Members and External Reviewers Selected by APT Committee and Contacted.
Fall Faculty Meeting	**Report Regarding Program of Work.**
(Third Week)	Suggested Dates for Submission of Materials to Program Director / Department Chair and / or Departmental APT Committee for Adequacy of Materials and Department Recommendation.
OCTOBER (Second Week)	Department APT Screening Complete.
(Mid October)	Department Chair Notifies Candidate of Recommendation Status by the Department.
NOVEMBER (First Week)	* Deadline for Submitting Materials to Dean's Office.
(Last Week)	Deadline for Letters from External Reviewers for APT Committee Review (i.e., week before vote).
DECEMBER (Second Week)	Final Recommendations to Dean's Office.
JANUARY	Official Policies & Procedures Reviews / Revisions Begin.

(Second Week)	
MARCH (First Week)	Request from Appropriate Departments the Name of the Next Year's Representative.
Spring Faculty Meeting	**Report Regarding Program of Work Progress.**
JUNE (First Week)	Completion of Committee Charges.

*** Key Deadline for Candidate's Actions**

III. The Chairman of the APT Committee confers with the Dean of the School of Allied Health to verify scheduling of promotions and tenure considerations prior to the September Faculty Meeting.

SUBJECT:

B. Committee Meetings

POLICY:

Committee meetings are scheduled according to the program of work.

PROCEDURE:

I. The APT Chairperson is responsible for establishing meeting dates, times and place minimizing conflicts with committee members' schedules.
II. The chairperson notifies the committee members of upcoming meetings
III. Meetings are scheduled as required to accommodate new appointments.
IV. The secretary records minutes for all meetings, disseminates minutes to Committee members and Dean's Office and maintains Master Minute files.

V. THE APT PROCESS

SUBJECT:

A. Initiation of Promotion/Tenure Application

PROCEDURE:

I. In the second week of July the SAH APT Committee Chairperson contacts Faculty Records for faculty coming up for mandatory tenure review.
II. In the third week of July, the SAH APT Committee contacts Department chairpersons to request a list of mandatory and elective candidates from each department. The two sources of mandatory reviews are compared to assure accuracy.

SUBJECT:

B. Departmental Review of Application

POLICY:

Refer to the KUMC Handbook for Faculty and Other Unclassified Staff

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 committee has three responsibilities:
- A. To screen the application for completeness and organization utilizing Sequencing Requirements and SAH APT Application (Exhibit D).
- B. To evaluate the SAH APT Application in comparison to the SAH APT Guidelines (or departmental guidelines where applicable).
- C. To notify the faculty member in writing of its recommendation. If the faculty member requests the reasons for the recommendation, that information shall be communicated in a personal interview or in writing, per request. A copy of each document shall be sent to the Department Chairperson.

III. ***** The responsibilities of the Departmental Chairperson include:
- A. To evaluate the SAH APT Application in comparison to the SAH APT Guidelines (or departmental guidelines where applicable).
- B. To notify the faculty member in writing of his/her recommendation. If the faculty member requests the reasons for the recommendation, the information shall be communicated in a personal interview or in writing, per request.
- C. To write a letter to the SAH APT committee to indicate his/her recommendation with appropriate comments to support the recommendation (Exhibit E).
- D. To insert the departmental APT committee recommendation and his/her recommendation into the designated place in the application.
- E. To submit the application to the Dean.
- F. To notify the candidate that the application has been sent to the Dean.

IV. If a faculty member is not recommended by the department APT committee and/or chairperson, the faculty member can request in writing to the Department Chairperson 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:

C. Required Materials

POLICY:

The applicant, through the Department Chairperson, shall submit the required materials to the Dean. The applicant is responsible for adhering to the established deadlines for the promotion/tenure process. The SAH APT Committee will not review applications received after the deadline.

PROCEDURE:

I. ***For appointment.***
The Department Chairperson, in conjunction with the Dean's office, prepares
A. KUMC Appointment to Faculty form (Exhibit B) or the KUMC Recommendation for Joint Appointment (Exhibit C)
B. Curriculum Vitae
C. Position Description
D. Letters of Recommendation

II. ***For promotion/tenure.***
The Department Chairperson is responsible for the application being organized

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SUBJECT:

D. Sequencing Requirements: Promotion/Tenure

Table of Contents:

The applicant, through the Department Chairperson, shall submit the required materials to the Dean. The applicant is responsible for adhering to the established deadlines for the promotion/tenure process. The SAH 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.

I. Applicant Data Sheet, which is part of the SAH APT Application (Exhibit D)

II. Letters from the Department APT Committee and Department Chairperson
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. APT Process, G. Department Chair as Applicant" for additional information addressing this situation.

III. Letters from external reviewers, if the application is for promotion to the rank of Professor.
The applicant for Professor shall place a tab in the application notebook for letters from external reviewers. When the letters are received by the APT Chairperson, they will be placed in the notebook.

IV. Activity Summary, which is part of the SAH APT Application (Exhibit D)

V. Activity Verification, which is part of the SAH APT Application (Exhibit D)

SUBJECT:

E. Assessment

POLICY:

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

Exhibit: SAH APT Review: Individual Worksheet and Ballot (Exhibit A)

PROCEDURE:

I. The APT Chairperson schedules assessment completion dates and forwards them, in writing, to the committee members.
II. The APT Chairperson initiates the assessment process.
III. The candidate's Applicant Data Sheet, letters from the Department APT Committee and Chairperson and Activity Summary will be copied, stamped "Confidential" and sent to each SAH APT Committee member.
IV. For each applicant, the SAH APT Committee will designate three committee members to assess the applicant's Activity Verification. Other committee members may assess this section.
V. Committee members signing out the original application are responsible for returning the application to the Dean's Office in a timely manner.
VI. A committee member completes the SAH APT Review as follows:
    A. Reviews the required information
    B. Evaluates the activities in comparison to the appropriate APT Guidelines.
    C. Indicates on the Individual Worksheet (Exhibit A) whether the applicant meets each guideline.
    D. Completes the Individual Ballot (Exhibit A)
VII. Committee members bring completed forms to the meeting at which the discussion and vote on each application is to be conducted.
VIII. The voting procedure to determine the SAH APT Committee's recommendation is outlined in Section II (Committee Definition, Voting, p. 36). All confidential documents will be collected by the Chairperson at the end of the meeting and destroyed.

SUBJECT:

F: Additional Procedures for Applicants for Professor

POLICY:

The SAH Appointment, Promotion and Tenure Guidelines (6.93) 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 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' committee members –

1. The chairperson 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 chairperson 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 chairperson of the APT Committee will ask the applicant for the required list of names of potential external reviewers.
2. The applicant will consult with the department chairperson 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 chairperson will notify the applicant of the persons selected as external reviewers.
6. The APT chairperson will mail the following items to the external reviewers

    - The Applicant Data Sheet
    - The Activity Summary
    - The SAH and departmental APT Guidelines and
    - A cover letter

The cover letter will include the request that the reviewer evaluate the applicant on the guidelines of which he/she has knowledge. The cover letter will state that items on the Activity Verification will be faxed to the reviewer if requested by phone call to the chairperson of the APT Committee.

The external reviewer's letter will be placed in the applicant's document. 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 as Applicant

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 applicant is a Chairperson, however, this letter must be written by another individual. The criteria for whom may write the letter are outlined here.

PROCEDURE:

1) The person writing the letter must be on faculty in one of the three Schools (SAH, SON, SOM) at KU Medical Center.
2) That faculty member must hold at least the rank for which the application is being made.
3) The primary appointment of that faculty member must be outside the Chair/applicant's department
4) The Chair/applicant bears responsibility for soliciting and obtaining the letter prior to review of the application materials by the SAH APT committee.
5) 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.
6) 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 Chairperson. This reflects an expectation that the promotion and tenure process evaluates a faculty member's abilities as a scholar rather than administrative abilities.

VI. CONFIDENTIALITY

SUBJECT:

A. Privileged Information

POLICY:

It is the ethical practice of the 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 committee for review, evaluation and analysis. Committee members will not divulge information contained within the material submitted.

Further, the position of the 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 Chairman. Worksheets submitted by the committee members are destroyed by the Chairman. Copies of all correspondence of a confidential nature are to be kept by the Chairman until a final decision has been made by the Board of Regents or until a candidate has exhausted all appeal options. The Chairman must secure these confidential documents in a secure manner, making the materials inaccessible to unauthorized persons.

All information submitted for review, along with recommendations, will be forwarded to the Dean of the School of Allied Health for safe-keeping or according to the policies of that office until the review process is complete. Then the supporting information supplied by the candidate is returned to the candidate by the Dean's Office upon completion of the process.

VII. EXHIBITS

Note: Exhibits A, B, and C are not included.

EXHIBIT - D

SAH APT APPLICATION

Support Materials (5/94)

The objective of support materials is to document the quantity and quality of activities relative to each of the SAH guidelines for promotion and tenure. Materials are to be presented in the order and format that follows. All items should be organized in a loose leaf binder with the applicant's name on the exterior. Index tabs are required.

Three forms of materials are required for the application:

1. the Applicant Data Sheet,
2. the Activity Summary, and
3. the Activity Verification.

The Activity Summary is to be a complete record of the individual's professional history. However, verification is to be submitted only for activities during the past seven years if professional employment exceeds that interval.

The following additional strategies are to be used to economize on the volume of materials submitted as verification. (Photocopies are acceptable for all materials.)

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 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 committee.

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

SAH APT ACTIVITY SUMMARY

(Reverse chronology; Standard reference formats)

I. SCHOLARSHIP

A. Publications

(Cite all professional publications including those "submitted" or "in press". Identify juried [J], invited [I] materials.)

B. Presentations

(Cite all professional presentations. List presenters, title, audience, time, place, date. Identify juried [J], invited [I] materials.)

C. Products

(Describe all professional products developed. Cite significant contributors, year of completion, method of

distribution.)

D. Grants

(Cite all grants submitted for which you were a major contributor. List the title, PI's, agency, funding status, amount. Identify your role/title.)

E. Other

(Describe other forms of scholarly activities/recognition including consultations, honors/awards related to research. Cite dates, etc.)

II. TEACHING

A. Formal Instruction

1. Courses/Independent Studies:
   (List all courses, indepependent studies, etc. by title, credits, number of students enrolled. Clarify your responsibility for the course.)
2. Clinic Supervision:
   (List by course title if applicable. Note number of students involved, time required, context of service. Describe your responsibilities.)
3. Student Research:
   (Cite direct supervision of research by student name, project title, year completed/in process. List memberships on other thesis/project committees.)

B. Teaching Innovations

(Describe any special materials/procedures you have developed, citing applicable course.)

C. Curriculum Development

(Describe your role in any course/curriculum development applicable to your program/profession.)

D. Peer Mentorships

(Describe any significant assistance you have provided peers relative to conduct of their program duties.)

E. Other

(Cite any other instructional activities/recognition including extra-curricular presentations, teaching awards, etc. Describe and date.)

III. SERVICE

A. Department Activities

1. Clinical:
   (Describe areas of direct clinical service including time commitments, specific responsibilities.)
2. Administrative:
   (Describe any significant administrative duties noting applicable titles, responsibilities, etc.)
3. Other:
   (Cite program projects, committee memberships, etc. Clarify responsibilities/leadership. Cite dates, etc.)

B. Institutional Activities

(List school/university service including projects/committees. Identify leadership roles.

C. Professional Activities

(Describe activities related to professional organizations including committee memberships/chairmanships, projects, etc. Cite titles, dates, etc.)

D. Continuing Education

(Cite all cont. ed. activities you have organized/provided. Cite titles, audiences, enrollments, dates.)

E. Other

(Cite any other service activities/recognition including grant/article reviews, consultations, honors, etc. Describe responsibilities, dates, etc.)

IV. PROF. DEVELOPMENT

A. (Cite additional study, exposure, experience you have acquired relevant to your profession, program duties. Describe continuing education activity, time involved, dates, etc.)

EXHIBIT - E

SAH APT ACTIVITY VERIFICATION

(Examples)

I. SCHOLARSHIP
- A. **Publications:** Actual document for key references. Index/Table of Contents citing the reference for others 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, agency, etc.

II. 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/chair.
- E. **Other:** (as appropriate)

III. SERVICE
- A. **Program Activities:** Statement from 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)

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

EXHIBIT - F

LETTERS FROM DEPARTMENT CHAIRPERSON AND APT COMMITTEE

I. **Letter from Chairperson**
- A. A clear statement as to whether the chairperson recommends or does not recommend the applicant's request for promotion/tenure.
- B. An evaluation of the applicant's activities compared to the SAH APT Guidelines (or departmental guidelines, if applicable). Both quantity and quality of activities should be evaluated.

C. When the promotion/tenure of a Department Chair is being considered, the writing of this letter is governed by criteria outlined in “section V. APT Process, G. Department Chair as Applicant.”

II. **Letter from Departmental APT Committee**

This letter should state the Committee's opinion on whether the applicant's request for promotion/tenure should be supported by the department.

For questions and updates to this document, please contact the chairperson of the school's APT committee.
Last updated: May 19, 2008

http://www.alliedhealth.kumc.edu/archive/committees/committeepolicies/apt.html