FACULTY APPOINTMENTS
PROMOTION AND TENURE
PROCEDURAL GUIDELINES AND EVALUATION CRITERIA
LSUHSC School of Medicine

PROCEDURES FOR NEW and REVISED FACULTY APPOINTMENTS

GENERAL PRINCIPLES
1. The same academic and achievement criteria are used for initial faculty appointment as those used for faculty advancement.
2. All new faculty appointments are reviewed for appropriateness of the proposed rank and track, taking into account the educational background, academic training, and professional achievements of the candidate.
3. Review of new faculty appointments at the rank of Instructor or Assistant Professor by the Appointments and Promotions Committee (APC) is not required, unless the Dean or his designee feels that a recommendation by the committee would be valuable.
4. New faculty appointments at the rank of Associate Professor and Professor are reviewed by the Appointments and Promotions Committee; for tenure track and full-time research track appointments external letters of reference and other reference materials may be submitted along with the candidate’s Curriculum Vitae for APC review. For all proposed advanced rank appointments, the department head submits a brief cover memorandum outlining the basis for the academic rank and the anticipated role of the candidate in the appointing department.
5. Tenure will not be granted at the time of initial appointment, except in the instance of department head (dean or chancellor) recruitment. The Appointments and Promotions Committee will consider other candidates for initial appointment with tenure under exceptional circumstances and with the appropriate supporting reference documentation.
6. Initial non-tenured, or “probationary”, appointments at advanced rank, Associate Professor and Professor, on the tenure track will be reviewed no later than the fourth year of appointment for tenure-granting.
7. Rarely, an accomplished, existing faculty member wishes to switch from a non-tenure track appointment to a tenure track appointment. The request from the department head for the track switch must come through the Associate Dean for Faculty Affairs accompanied by a recent Curriculum Vitae; the request for the switch will be reviewed by the Appointments and Promotions Committee and must be favorably recommended at all academic ranks. Additional supporting documentation can be requested.
8. All new faculty appointments and switches to the tenure track, like promotions, also undergo a succession of recommendations from the Dean, the Administrative Council of the School of Medicine, the LSUHSC Vice-Chancellor of Academic Affairs, and the Chancellor, with final action taken by the LSU System Office and the Board of Supervisors.

PROCEDURES FOR PROMOTION AND TENURE

GENERAL PRINCIPLES
1. Promotion and granting of tenure represent a succession of recommendations by the departmental faculty (departmental committee), department head, the School of Medicine (SOM) Appointments and Promotions Committee, the Dean, the Vice-Chancellor of Academic Affairs, and the Chancellor. At the SOM the Administrative Council also provides an advisory recommendation to the Dean on advancements and granting of tenure. Final actions are taken by the LSU System Office and the Board of Supervisors.
2. Candidates for promotion and/or tenure granting are presented for review by the department head or, in the case of full time faculty members only, by self-nomination. Normally, the department head initiates the process for departmental review.
3. The department head is responsible for informing the faculty candidate when a negative recommendation is made in the course of the promotion or tenure process. As described in the Faculty Handbook, the faculty candidate has the right to withdraw from consideration at any time.
4. Procedures and supplemental forms for the promotions packets will be posted on the LSUHSC School of Medicine web-site by a link to the Faculty Affairs address.
5. Each department of the SOM forms a Promotions Committee, composed of senior, advanced rank faculty members. The departmental committee meets and reviews potential candidates for advancement. The promotions packet is reviewed by the departmental committee in its deliberations.
6. A minimum of five (5) senior faculty members (associate or full professors) must serve on the departmental committee. The composition of the committee is otherwise determined by the department head. If the department has less than five (5) senior faculty members, the committee is comprised of all departmental senior faculty and senior faculty members selected from other departments to provide the full committee complement of five. If a faculty member serving on a departmental committee accepts an invitation to serve on the school Appointments and Promotions Committee, he or she can no longer vote on the departmental committee, although he or she could continue to serve in an ex officio manner.

7. The faculty candidate plays a principal role in the preparation of the promotions packet and is required to validate that the documents submitted are accurate and complete.

8. The departmental Promotions Committee votes on each candidate and records its vote on the LSU System form. Associate Professors cannot vote on proposed promotions to Full Professor. Non-tenured senior faculty members, regardless of rank, cannot vote on granting of tenure.

9. A formal written recommendation, positive or negative, is submitted by the departmental committee to the department head on the System form.

10. The department head also renders a written recommendation on the System form.

11. In the instance of joint appointment with a Center of Excellence and/or with another department(s), the Center Director and/or other department head(s) must also supply a formal written recommendation, positive or negative, using the System form page for department heads.

12. Following recommendations of the departmental Promotions Committee and the department head, the candidate is evaluated by the SOM Appointments and Promotion Committee. The SOM Appointments and Promotions Committee is composed of tenured Full Professors. The chair of the Appointments and Promotions Committee records its vote on the Systems form.

13. Positive recommendations from the SOM Appointments and Promotions Committee are forwarded to the Administrative Council for review. The advisory recommendation of the Administrative Council is recorded by the Council Secretary after a secret ballot is taken. Voting members of the Administrative Council are the Dean, Associate and Assistant Deans, department heads and elected representatives of the Faculty Assembly.

PROMOTION PACKET PREPARATION

1. In accordance with Health Sciences Center policy, the candidate must participate in the preparation of materials in the packet and “sign-off” on the accuracy and completeness of biographical materials and the teaching and/or administrative portfolios submitted.

2. The standard Biographical Data currently requested by the LSU System form is used.

3. A formal summary of teaching assessment is included on the “Promotion/Tenure Request” form as part of the departmental recommendation; there will be recognition of the faculty candidate’s participation in The Academy for the Advancement of Educational Scholarship in the advancement process.

4. Standardized information provided on teaching and administrative portfolio forms is included with the promotions packets.

5. Three letters of recommendation from academic institutions are required for all advancement candidates. Letters must be submitted as originals (with copies) on university, or more rarely agency (i.e. NIH, DHH, etc) letterhead; hand-written letters and letters from community practice partners or colleagues will not be accepted unless the letters are submitted on university letterhead and identify the academic title of the author. For part-time and gratis faculty members, letters of recommendation must specifically address the contributions of the candidate to the teaching or research programs of the School of Medicine.

   a. For a candidate being considered for promotion to Tenured Full Professor, for the granting of tenure for a candidate hired at the rank of Professor (tenure-track, probationary), for the promotion to Professor – Research, for the promotion to Tenured Associate Professor, or for the granting of tenure for a candidate hired at the rank of Associate Professor (tenure-track, probationary), three out-of-state letters are required.

   b. For a candidate being considered for the promotion to Associate Professor - Research, three out-of-institution letters are required.

   c. For a candidate being considered for promotion to the rank of full-time, non-tenured Professor Clinical (or FTA), three out-of-institution letters are required and for promotion to the rank of full-time, non-Tenured (or Full Time Affiliates (FTA)) Associate Professor Clinical, three letters out-of-department are required.

   d. For other advancements, three letters of recommendation from a variety of sources are accepted, including intradepartmental sources; however, multiple letters originating from the same section or from the primary department are discouraged unless they provide additional information in support of the candidate.

6. A list of potential references is provided by the candidate or by the candidate and the department head. The three required letters must be solicited from that list of potential references; however, the department head may also solicit other letters of recommendation that are submitted to the departmental and school committees for consideration.

7. To ensure objectivity, evaluators, to the maximum extent possible, should not be former colleagues, mentors, co-authors, or fellow graduate students; this is especially germane in the context of tenure track and research
track advancements where an external evaluator should have a strong record of research and scholarship and should also be from a “peer” institution or equivalent research or outreach organization.

PROMOTION/TENURE APPEALS

1. A full-time faculty, but not part-time or gratis faculty, candidate can request review and recommendation by the SOM Appointments and Promotion Committee despite receiving negative recommendations by the departmental Promotions Committee and/or the department head.

2. The Chair of the SOM Appointments and Promotions Committee will notify the department head when it has made a negative recommendation for promotion or tenure.

3. If the SOM Appointments and Promotion Committee renders a negative recommendation, only the department head can personally appeal that recommendation to the SOM Appointments and Promotion Committee or to the Administrative Council.

4. The department head has the right to challenge the recommendation of the SOM Appointments and Promotion Committee before submission of the committee’s final recommendations to Administrative Council and the Dean, by personal appeal before the committee. New information may be submitted and considered by the committee if such information is thought to be potentially valuable.

5. If the SOM Appointments and Promotion Committee sustains a negative recommendation after personal appeal by the Department Head, the Department Head has the right to appeal to the Administrative Council. Appeal to the Administrative Council will be conducted in executive session, with only voting members and the Chair and/or Vice Chair of the school Appointments and Promotion Committee in attendance.

6. In the case of an appeal, all promotions packet material and the letter from the SOM Appointments and Promotion Committee to the department head about the candidate must be made available for the Administrative Council for review. The Chair or Vice-Chair of the Appointments and Promotion Committee will be responsible for presenting the position of the committee relative to the candidate. In the setting of an appeal, a positive advisory recommendation from the Administrative Council to the Dean requires a 2/3 (two/thirds) vote of a quorum of the voting membership.

APPPOINTMENT AND PROMOTIONS AND TENURE CRITERIA

INTRODUCTION

The promotion and tenure process is structured to evaluate accomplishment in accordance with the major focus of effort of the candidate as defined by the terms of the initial appointment and by any redirection of the candidate’s effort that has subsequently occurred. Changing from one appointment track to another requires mutual agreement by the faculty member and the department head; changing from a tenure track to a non-tenure track appointment will ordinarily be considered a lateral move and will be done no later than the beginning of the academic year prior to review for advancement. Changing from a non-tenure track appointment to a tenure track appointment, will be undertaken under the most exceptional of circumstances and will be based on rigorous review by the Appointments and Promotions Committee and the Dean; it also will be done no later than the beginning of the academic year prior to review for advancement and tenure-granting.

Promotion and granting of tenure represent a succession of judgments by the departmental faculty (departmental promotions committee), department head, the SOM Appointments and Promotions Committee and the Administrative Council, the dean and the health sciences center, and finally the LSU System Office and the Board of Supervisors. The recommendations of these bodies will consider the accomplishments of the faculty candidate in the context of the current appointment track and assigned responsibilities. Time in rank (or length of overall service) does not alone constitute justification for advancement. The following general guidelines recognize that a faculty member functions in many spheres and that assessment for advancement must be highly individualized. Promotion and tenure recommendations consider the following four basic categories of faculty activities: teaching; research; service; and academic administration. The process seeks evidence of continuing commitment to the fulfillment of the mission of the School of Medicine in all four categories. Consequently, the promotions and tenure review process is meant to consider a faculty candidate’s activities in these categories and also is meant to assess academic progress since appointment or the last promotional step.

Initiation of the promotions or tenure process is one step in career development and planning for a faculty member. The decision to proceed with promotion or tenure evaluation is typically made jointly by the faculty member and his/her supervisor. Anticipating candidate review at multiple levels, the faculty member and supervisor should prepare the promotion or tenure materials with general evaluation criteria in mind. The promotions packet should clearly document the accomplishments of the faculty candidate, emphasizing those activities that are most valued in the candidate’s academic appointment track.
GENERAL APPOINTMENT AND ADVANCEMENT CRITERIA

Some review criteria are cited below. These criteria are not intended to be inclusive, but rather illustrative of the type of evidence that may be included in a review packet to establish achievement within the different academic ranks. However, the specific criteria used for promotion or granting of tenure (in the case of tenure track appointments) will be weighed differently depending on the academic track and the designated responsibilities of the faculty member.

Consequently, the review process does not necessarily seek evidence of excellence in all four categories of faculty activities.

I. Excellence in Teaching can be documented by:

♦ Surveys, evaluations, or ratings by students, residents, fellows and fellow faculty members.
♦ Measures of student achievement.
♦ Long term success in a particular teaching assignment.
♦ Number and type of students taught and hours of student contact.
♦ Special awards for teaching efforts.
♦ Membership in the LSUHSC Academy for the Advancement of Educational Scholarship.
♦ Evidence that the faculty member serves as a role model or mentor.
♦ Development and implementation of curricular initiatives or teaching materials that may be adopted by other institutions.
♦ Regional, national, and international contributions in educational arenas.
♦ Leadership or commendable participation in the education of graduate students or house officers.
♦ Leadership or commendable participation in continuing medical education.
♦ Invitations to serve as a visiting professor or guest speaker, especially endowed professorships or lectureships.
♦ Leadership roles in educational programs (e.g., program chair for professional society’s annual meeting).
♦ Letters of commendation for educational contributions outside the institution.
♦ Evaluations from participation in professional and other external teaching programs.
♦ Published research in medical education or related fields.
♦ Service as reviewer or editor of educational publications.

II. Excellence in Research can be recognized by:

♦ Reputation with peers as an independent, original investigator.
♦ Publication of original research in peer-reviewed journals, particularly in high impact journals.
♦ Record of national grant and contract support.
♦ Regional, national, international or professional society prizes or awards.
♦ Invitations for endowed lectureships or professorships or special lectures at professional meetings.
♦ Letters referencing research excellence and contributions to the discipline.
♦ Seminal work in a specific discipline or area of investigation.
♦ Invitations to write review articles in area of scientific expertise.
♦ Continued participation on review or editorial boards, associate editorships, editorships of journals.
♦ Continued participation on study sections and scientific advisory boards.
♦ Leadership roles in national or international professional societies and related meetings.
♦ Leadership or authorship roles in cooperative clinical programs, clinical trials, outcomes analysis.
♦ Participation in institutional or program reviews or site visits.
♦ Commendable participation or leadership in graduate programs, post-doctoral training, training grants, or program project grants.
♦ Commendable participation or leadership in research-related committee or other administrative activity.

III. Excellence in Institutional, Community, and/or Clinical Service can be recognized by:

♦ Commendable participation or leadership in departmental, school, health sciences center or hospital committees.
Continued participation or leadership in professional organization or society committees and/or governing boards at a local (community outreach), regional, state, national or international level.
Commendable participation in community service or other volunteer activities.
Reputation as a clinician and consultant, including recognition as local or regional “Best Doctor”.
Clinical productivity.
Introduction of new clinical skills or techniques to the institution.
Special competencies that enhance clinical or training programs.
Development of new clinical programs that serve to fulfill mission of School of Medicine.
Implementation of innovations, as a participant or as a leader, that enhance patient care: chronic disease management programs, critical pathways, medical homes projects, etc.
Development of and active participation in clinical trials, cooperative groups or outcomes analysis.
Appointed or elected leadership or membership on local, regional or national organizations, societies or specialty governing boards.
Participation in or consultation for care-related committees or organizations, locally, regionally or nationally.

IV. Excellence in Administration can be recognized by:

Organization or reorganization of a department, center, or other administrative unit.
Direction of a clinical, research, or administrative unit in the school, health sciences center or hospital.
Initiation or implementation of projects, policy or programs on a school or health sciences center level.
Initiation or implementation of health care delivery systems or programs.
Coordination of institutional service with government, community, and volunteer organizations.
Leadership in organizations involved with academic health centers and health care delivery, policy and legislation.
Participation on site visit teams for funding agencies.
Organization of programs at national meetings of professional organizations.

GUIDELINES FOR APPOINTMENT AND ADVANCEMENT

Specific guidelines for appointment and promotion within the different academic tracks follow. These guidelines, however, do not represent absolute requirements. These guidelines also are not intended to be inclusive; appointment and advancement requirements may vary depending on the designated responsibilities of the faculty member.

I. Tenure Track
Appointment to Instructor (on any appointment track)
Appointment to this rank normally requires the highest (terminal) degree in the discipline and the candidate should show promise of the ability to perform successfully the duties for which he was employed or may be assigned in the future. Instructors are not eligible for tenure granting.

Appointment or Promotion to Assistant Professor on the Tenure Track
Appointment or advancement to this rank requires a commitment to basic or clinical research and teaching as evidenced by:

- Capacity for teaching and advising.
- Capacity for independent investigation in basic or clinical sciences.
- Willingness to participate in departmental or school committee work.
- A scholarly approach in clinical care.

Appointment to Associate Professor (tenure track) or Promotion to Associate Professor with Tenure
Appointment or advancement to the rank of associate professor with tenure requires professional recognition, in most instances at a national level, which can be evidenced by:

- Recognition for excellence in teaching.
- Development of new teaching materials.
- Recognition by peers for independent and original investigation (through peer-reviewed publications and extramural research funding).
- Elected membership in major scientific societies.
- Recognition through formal awards, invitation to participate in local, regional and national meetings, etc.
• Leadership in scientific or professional organizations.
• Development and implementation of new programs that serve to fulfill mission of School of Medicine.
• Evidence of continuing commitment to departmental and/or institutional missions of teaching, research and/or service.

Appointment to Professor (tenure track) or Promotion to Professor with Tenure
Faculty appointment or promotion to the rank of professor with tenure is reserved for professionally accomplished faculty, often those with international recognition, which can be evidenced by:

• Excellence in training, teaching, and advising of students, trainees at all levels, and junior faculty.
• Development or implementation of major courses or other curricular initiatives or courses and/or development of teaching materials.
• Continued publication in peer-reviewed journals.
• National and international recognition as an investigator.
• Continued independent, externally funded investigation.
• Participation as author or editor of textbooks, monographs, or journals.
• Membership on editorial boards, study sections, and/or advisory groups.
• Elected membership and leadership in scientific professional societies.
• Invited participation in professional society-related committees and/or governing boards.
• Professional awards and invited and/or named lectureships.
• Participation in national and international symposia, courses, and teaching programs.
• Development and implementation of new programs that serve to fulfill mission of School of Medicine, University or other professional organization.
• Exceptional leadership or administrative performance, at departmental, school, health sciences center, hospital, state, or national levels.

II. Non-Tenure Tracks
A. Full-time Clinical
This is a non-tenure track for full-time faculty in the clinical sciences who are effective in teaching and service programs and are essential for patient care.

Appointment or Promotion to Full-Time Assistant Professor of Clinical ______________________
Appointment or advancement to this rank requires a commitment to teaching and clinical service as evidenced by:

• Capacity for teaching and advising.
• Potential for clinical or basic science research contributions and collaborations.
• Willingness to participate in departmental or school committee work.
• Excellence in patient care.
• A scholarly approach in clinical care.

Appointment or Promotion to Full-Time Associate Professor of Clinical ______________________
Appointment or advancement to this rank requires that the faculty member is regarded as an excellent and scholarly clinician and/or consultant, often with a local, regional or national reputation, and can be evidenced by:

• Excellence in clinical service and clinical consultation.
• Development and implementation of new clinical or training programs.
• Publication of clinical studies in peer-reviewed journals.
• Continued participation or leadership in clinical trials research.
• Collaboration with other investigators on clinically related research.
• Recognition for excellence in teaching, and advising at multiple levels.
• Development of new teaching materials.
• Leadership or administrative responsibility for teaching or training programs.
• Elected membership in professional societies.
• Recognition through formal awards, local and regional invited lectures, and participation in professional society programs and CME courses.
• Leadership role in institutional, local or regional clinical affairs and/or participation in committees, programs, and/or governing boards.

Appointment or Promotion to Full-Time Professor of Clinical ______________________
Appointment or promotion to the rank of clinical professor is reserved for exceptional faculty, often those with regional and national recognition, and can be evidenced by:
- Reputation for excellence in clinical service and consultation.
- Development of new teaching materials or curricular initiatives.
- Leadership in training, teaching, and advising of undergraduate, medical and graduate students, residents, clinical and postdoctoral research fellows, and colleagues.
- Directorship of teaching or training course or program.
- Publication of clinical studies in peer-reviewed journals.
- Coordination or leadership in clinical trials research.
- Authorship or editorship of textbooks, monographs, or journals.
- Service on journal review panels, editorial boards and/or professional advisory groups.
- Election or appointment to professional societies, committees, and/or governing boards.
- Professional awards and invited and/or named lectureships.
- Participation in local, regional, or national symposia, courses, and teaching programs.
- Development and implementation of new programs that serve to fulfill mission of School of Medicine, University or other professional organization.
- Exceptional leadership or administrative performance, at departmental, school, health sciences center, hospital, state, or national levels.

B. Full-Time Research Track

The research track is specifically designed for faculty members whose primary activity within the Medical School is through research activities.

**Appointment or Promotion to Assistant Professor - Research**

Appointment or advancement to this rank can be evidenced by:

- Capacity for original and independent research, as demonstrated by recommendations from established senior faculty at the Medical School and/or other institutions.
- Scientific productivity (peer-reviewed publications).

**Appointment or Promotion to Associate Professor – Research**

Appointment or advancement to Associate Professor of Research normally indicates that a faculty member has achieved professional recognition, in most instances at a national level, which can be evidenced by:

- Scientific productivity evidenced by continued publication of original studies in peer-reviewed journals.
- Recognition by peers for independent investigation through external funding of research projects.
- Salary support from grants and contracts from independent or collaborative awards.
- Elected membership in major scientific societies.
- Recognition through formal awards, invitation to participate in local, regional and national meetings, etc.
- Leadership in local, regional, or national scientific committees, programs, and/or governing boards.
- Extent and quality of any teaching, service, and/or administrative activities undertaken.

**Appointment or Promotion to Professor - Research**

Appointment or advancement to Professor of Research normally indicates that a faculty member has achieved professional recognition, in some instances at an international level, which can be evidenced by:

- Continued publication of original studies in peer-reviewed journals.
- National and international recognition as an investigator.
- Continued independent investigation with sustained external funding.
- Salary support from grants and contracts from independent awards.
- Authorship or editorship of textbooks, monographs, or journals.
- Membership on editorial boards, study sections, and/or advisory groups.
- Invited society memberships with or without committee and/or governing board appointment.
- Participation and/or leadership in major regional, national, and international society committees and programs.
- Formal research awards.
- Major invited lectures.
- Extent and quality of any teaching, service, and/or administrative activities undertaken.

C. Full-Time Affiliate (FTA) Track
This appointment track has parallels to the Full-Time Clinical Track. However, it must be understood that the research opportunities for clinical science investigation or collaboration with basic science are less abundant. Consequently, the activities of faculty in this track will be heavily weighted in teaching, service and administration. The evidence and criteria used for appointment and promotion of faculty in this track will be the same as those for the Full-Time Clinical Track excepting that extended regional and national professional reputations in teaching and clinical service will not be expected.

D. Part-Time Academic Rank\textsuperscript{iv}
This track is utilized for faculty with the same criteria and standards for designation at full-time academic rank, but who are employed less than full-time. Tenure cannot be granted for part-time faculty and the criteria used for appointment and promotion will be selected on the basis of the nature of the activities that the faculty candidate has undertaken, traditional teaching and research or primarily research.

E. Part-Time (or Gratis) Clinical Track\textsuperscript{v}
This track is used for part-time or gratis faculty whose primary role is related to a clinical setting.

Appointment or Promotion to Clinical Assistant Professor, Part-Time or Gratis
Appointment or advancement to this rank can be evidenced by:

- Clinical competence with board-eligibility or board-certification in primary specialty.
- Competency and involvement in teaching or clinical research.
- Direction of clinical or professional program.
- Service on divisional, departmental or other institutional committee.

Appointment or Promotion to Clinical Associate Professor, Part-Time or Gratis
Appointment or advancement to this rank requires that the faculty member is regarded as an excellent and scholarly clinician and/or consultant, often with a local or regional reputation, and can be evidenced by:

- Excellence in teaching at multiple levels, medical students, residents, fellows, grand rounds, interdisciplinary conferences, etc.
- Development and/or direction of local or regional postgraduate courses.
- Local teaching award.
- Participation in clinical trials.
- Leadership in program or project within division or department.
- Membership or leadership of committee for department, school, health sciences center, medical specialty or professional society.

Appointment or Promotion to Clinical Professor, Part-Time or Gratis
Appointment or promotion to the rank of clinical professor, part-time or more commonly gratis, is reserved for accomplished faculty, often those with local, regional and state recognition, and can be evidenced by:

- Reputation for clinical excellence locally and regionally.
- Teaching excellence.
- Continued commitment to and involvement in teaching and training programs.
- Supervision of training program.
- Scholarly approach to the practice of medicine and to work within professional organizations.
- Development or direction of postgraduate courses regionally or nationally.
- Invited lectures at regional or national meetings.
- Appointment as board examiner.
- Elected office in specialty organization and/or governing board.

\textsuperscript{i} (PM #23-17)
\textsuperscript{ii} (PM #23-16)
\textsuperscript{iii} (PM #23-11)
\textsuperscript{iv} (PM #23 P-T 1)
\textsuperscript{v} (PM #23 P-T 5)