

**FIU HWCOT APT Manual:  
Appointment, Promotion, Evaluation and Maintenance of Status**

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## I. Introduction/General Considerations

### A. Purpose of this Manual

This manual aims to clearly communicate to prospective faculty, faculty and all others with significant roles in the processes of appointments, promotions, tenure and/or periodic reviews of faculty performance, the standards and expectations necessary for their effective participation in these processes at the Herbert Wertheim College of Medicine.

### B. HWCOC Appointment, Promotion and Tenure (APT) Committee and Annual Reviews

The HWCOC Appointment, Promotion and Tenure (APT) Committee shall evaluate all candidates for appointment, rank, and promotion. This committee will receive and consider recommendations from the department committee and HWCOC department Chair responsible for the individual under consideration by the committee.

The members of APT Committee shall be elected by the Faculty Assembly, with the approval of the Dean. The committee shall have a minimum of five elected members who hold the rank of Associate Professor or Professor, one of whom is elected by the committee members as Chair and approved by the Dean to serve as Chair. The APT Committee includes a separate Tenure Subcommittee established for the purpose of evaluating candidates who are being considered for tenure and promotion in the tenure track as per FIU guidelines and making recommendations in accordance with the APT Manual; the FIU Tenure and Promotion Manual; and any other applicable policies or regulations. Tenured faculty members who have served a term on the APT Committee are eligible to serve on the Tenure Subcommittee. The APT Tenure Subcommittee shall be comprised of three tenured faculty members approved by the Dean. Recommendations for tenure and tenure track faculty, will be made by the Tenure Subcommittee. The APT committee will receive the Tenure Subcommittee's recommendation and forward the recommendation to the Dean. All determinations regarding tenure and tenure track faculty shall be made in accordance with University policy [FIU Tenure and Promotion Manual](#)

All Faculty Members, regardless of rank or tenure status, will be evaluated annually by the Department Chair in the department to which the faculty member is assigned.

**II. Tracks, Ranks and Joint Appointments**

HWCOC Faculty Tracks and Ranks				
Tenure Track & Tenured Faculty				
Assistant Professor				
Associate Professor				
Professor				
Non-Tenure Tracks				
Clinical/Health Outcomes Scholar (CHS)	Medical Librarian (ML)	Community-Based* Clinical (Voluntary)	Community-Based Basic Science (Voluntary)	Adjunct Faculty* <sup>1</sup>
Research Scientist (RS)				
Educator Scholar (ES)				
Non-Tenure Ranks				
Instructor (CHS/RS/ES)	Instructor	Clinical Instructor	Instructor	Adjunct Assistant Professor
Assistant Professor (CHS/RS/ES)	Medical Librarian	Clinical Assistant Professor	Assistant Professor	Adjunct Associate Professor
Associate Professor (CHS/RS/ES)	Assistant Medical Librarian	Clinical Associate Professor	Associate Professor	Adjunct Professor
Professor (CHS/RS/ES)	Associate Medical Librarian	Clinical Professor	Professor	Adjunct Professor
	Medical Librarian			

**\*Community-based are usually employed by a clinical partner.**

**\*<sup>1</sup> Adjunct faculty have a primary appointment at another institution of higher education. They may be paid or unpaid by HWCOC.**

## A. Employed Faculty Tracks

1. **Tenure and Tenure Track.** Faculty on this track will be full time and have a major commitment to teaching and/or research/scholarly activities and are expected to achieve excellence in teaching and/or research and satisfactory service and/or patient care as assigned in their yearly evaluation. Promotions and tenure shall be awarded in accordance with this APT Manual and consistent with the FIU Tenure and Promotion Manual. It is expected that Faculty Members on the tenure track will be the PI (not co-PI) of at least one R01-level grant active within the 6-year Probationary Period or serve as the PI on a Program Project (P01) award. Renewal of an R01-level grant as PI during the Probationary Period is expected for those who enter the Probationary Period with an existing R01. Faculty are expected to serve on committees in HWCOR and the University and in professional organizations relevant to their areas of expertise/interest. The tenure track Faculty Members may be in Basic Science or Clinical departments. The assignment of responsibilities dictates the criteria upon which Faculty Members are evaluated and the basis on which decisions regarding promotion are determined as described in this manual. Tenure and tenure track ranks are listed in the table above. The criteria to achieve full tenure status are described in promotion to Professor section below.
  
2. **Non-Tenure Eligible Tracks and Ranks of Full-Time or Part-Time Employed Faculty.**

Faculty Members on the non-tenure tracks participate in all academic missions of HWCOR: education, research, patient care, and service. They are expected to serve on committees in the HWCOR and the University and in professional organizations relevant to their areas of expertise/interest. The assignment of responsibilities, focus of scholarly approach and scholarship, and area of reputation dictate the criteria upon which Faculty Members are evaluated and the basis on which decisions regarding promotion are determined as described in this manual.

- a. Clinical /Health Outcomes Scholar. Faculty Members on this track will be expected to have a majority of their effort assigned to patient care, health care management/leadership/administration and/or health-outcomes related research. They typically engage in college-supported teaching. The scholarly activity and scholarship can include clinical, epidemiologic, and/or health systems domains, where the higher level of reputation should be established. They may also engage in scholarly approaches and/or scholarship in medical student or resident/fellow or faculty education.
  
- b. Research Scientist. Faculty Members on this track will be expected to have a majority of their effort devoted to biomedical, clinical or translational research. They usually engage in college-supported teaching/administration. The research activity of these Faculty Members will typically have an integral role in a major laboratory effort or clinical research program, and they may have independent

funding or be co-Principal investigators on related research teams. They are expected to engage in scholarly approaches and/or scholarship in medical student or resident/fellow/faculty education.

- c. Educator Scholar. Faculty Members on this track are from various disciplines whose primary professional activities are in curriculum development, mentoring/advising, teaching, learner assessment and/or educational leadership, including administrative leadership. They are expected to engage in scholarship related to these activities. Their scholarly achievements and reputation are primarily in education. They may also engage in scholarly approaches and/or scholarship in clinical and/or biomedical domains.
- d. Medical Librarian. Faculty members on this track will typically have a majority of their effort assigned to performing the responsibilities of an academic medical librarian, which involves supporting the HWCOP mission and the goals of the medical library. Professional development, including some scholarly activity and academic service is expected.

- 3. **Non-Tenure Track Ranks**. Ranks available for appointment or promotion of part/full-time faculty on the Clinical/Health Outcomes Scholar, Research Scientist, Educator Scholar and Medical Librarian tracks are listed on the table above.

#### B. Community-Based (Clinical and Research) Faculty

Faculty Members on this track serve in a voluntary non-tenured capacity without financial compensation and are primarily independently employed or employed by other local/regional health care systems. Appointments are typically reserved for physicians with primarily patient care, teaching and/ or basic science responsibilities.

**Community-Based Ranks** are listed on the table above.

#### C. Adjunct Faculty

Faculty Members on this track may be part-time or full-time and serve with or without financial compensation and are primarily employed at other educational/research institutions. Appointments should be reserved for individuals from outside FIU who have completed their graduate education. These Faculty Members are expected to contribute actively to the educational, clinical and/or research programs of HWCOP.

**Adjunct Faculty Track Ranks** are listed on the table above.

#### D. Faculty Joint Appointments

A faculty joint appointment is defined as employment that is offered by two academic colleges, two academic units, or an academic unit and a center or institute. A joint appointment is to be differentiated from an assignment that is made in two units. In making a joint-appointment offer, a primary and secondary unit will be clearly designated. If an appointment is tenure-earning, the unit in which tenure would be granted will be designated as the primary unit. Joint appointments will comply with University policy (<https://policies.fiu.edu/files/105.pdf>). In no event will collective bargaining agreements govern appointments in the HWCOT.

#### E. Changing Tracks

Ordinarily faculty will remain on the track to which they are initially appointed. However, there are circumstances that may justify the transfer of a faculty appointment from one track to another.

- 1. Assistant Professors, Clinical/Health Outcomes Scholar, Research Scientist, or Educator Scholar Non-Tenure Track to Tenure Track.** When a Faculty Member with an appointment in the Clinical/Health Outcomes Scholar, Research Scientist or Educator Scholar track is transferred to the tenure track, the Faculty Member must be approved for tenure within a six-year period (the Probationary Period) on the tenure track or the HWCOT appointment may be terminated. Any deviations from this Probationary Period, defined as six years on the tenure track, must be approved by the Dean and Provost. In lieu of termination, and at the recommendation of the department Chair and Dean of the HWCOT, with approval of the Provost, the Faculty Member's appointment may be changed to the Clinical/Health Outcomes Scholar, Research Scientist or Educator Scholar track or the time to tenure may be extended upon approval by the Provost.

A request from a Chair for transfer of a faculty appointment at the Assistant Professor level from the Clinical/Health Outcomes Scholar, Research Scientist or Educator Scholar tracks to the tenure track must be well-justified in a letter to the Dean. A Faculty Member who is transferred from a non-tenure to a tenure track must have demonstrated the ability to satisfy the criteria for the tenure track, supported by documented evidence and a written statement from the candidate that he/she agrees with the transfer. When Faculty appointed at the Assistant Professor level are transferred to the tenure track, credit for time in the prior non-tenure track towards tenure will be determined on a case-by-case basis subject to recommendation by the Dean and approval by the Provost.

Once transferred to tenure track, a Faculty Member must meet the obligations set forth in this Appointment, Promotion and Tenure Manual and the requirements set forth in the *FIU Tenure and Promotion Manual*.

- 2. Associate Professor and Professor, Clinical/Health Outcomes Scholar, Research Scientist, or Educator Scholar Non-Tenure Track to Tenure Track.** The academic teaching, scholarship, and service contributions of a Faculty Member at the associate professor or professor level whose appointment has always been on the Clinical/Health Outcomes Scholar, Research Scientist, or Educator Scholar non-tenure track may be of such quality and quantity as to satisfy the criteria for a transfer to the tenure track.

A Faculty Member who is transferred from a non-tenure to a tenure track must have demonstrated the ability to satisfy the criteria for the tenure track, supported by documented evidence and a written statement from the candidate that he/she agrees with the transfer. When Faculty appointed at the Associate Professor level are transferred to the tenure track, credit for time in probationary status on the tenure track will be determined on a case-by-case basis subject to recommendation by the Dean and approval by the Provost.

The department Chair's letter of request to the Dean will provide the justification for the transfer and will be supported by documented evidence.

Once transferred to tenure track, a Faculty Member must meet the obligations set forth in this Appointment, Promotion and Tenure Manual and the requirements set forth in the *FIU Tenure and Promotion Manual*. A Faculty Member on the tenure track must be tenured within six years of transition in accordance with FIU policies (the Probationary Period) or may be terminated. Any deviations from this schedule must be approved by the Provost. In lieu of termination, and at the recommendation of the department Chair and Dean of the HWCOC, with approval of the Provost, the Faculty Member's appointment may be changed to the Clinical/Health Outcomes Scholar, Research Scientist or Educator Scholar track.

- 3. Tenure Track to Clinical/Health Outcomes Scholar, Research Scientist or Educator Scholar Non-Tenure Track.** At the discretion of the Chair, a faculty appointment may be transferred from the tenure track to a non-tenure Clinical/Health Outcomes Scholar, Research Scientist, or Educator Scholar track with the written permission of the Faculty Member and the approval of the Dean and Provost. The Chair may request such transfer with justification in a letter to the Dean of HWCOC co-signed by the Faculty Member at any time prior to the year of tenure evaluation. Such transfers off the tenure track usually will be made for faculty whose accomplishments and career goals are better suited to the Clinical/Health Outcome Scholar, Research Scientist or Educator Scholar track.
- 4. Transfer within non-tenure tracks: Clinical/Health Outcomes Scholar, Research Scientist or Educator Scholar.** At the discretion of the Chair, a faculty appointment

may be transferred from one of the non-tenure tracks to another, with the written permission of the Faculty Member and approval of the Executive Associate Dean for Academic Affairs and the Dean.

### III. Tenure Track and Tenured Faculty

#### A. General Considerations regarding Tenure Track

Consistent with policies of Florida International University, individual colleges are required to establish tenure and promotion guidelines that clearly and specifically articulate the standards and expectations for tenure and promotion. Individual departments will further articulate those standards with specific criteria for promotion and tenure in that department.

There is no entitlement to tenure. The burden is on the Faculty Member to fulfill criteria for tenure.

The policies for Tenure Credit or Tenure upon Appointment are as follows:

##### 1. Tenure Credit

- a. Faculty who join FIU after serving on the tenure track at another institution may be eligible for early consideration for tenure, based on FIU policy for tenure credit.
- b. Tenure credit of up to three years can be requested and must be approved by the Dean of HWCAM and the Provost and be made in accordance with the Guidelines for Tenure Credit or Tenure upon Appointment in the *FIU Tenure and Promotion Manual*. Requests for exceptions to this limitation will be made in accordance with the Guidelines for Tenure Credit or Tenure upon Appointment in the *FIU Tenure and Promotion Manual*

2. Tenure upon Appointment policy is documented in the current FIU Tenure and Promotions Manual.

#### B. Appointments on Tenure Track: Process and Qualifications

##### 1. Process

Appointments of tenure track Faculty Members may be made at the level of Assistant Professor, Associate Professor or Professor, and with or without tenure or credit toward tenure, in accordance with the qualifications of the appointee.

Appointments with tenure are described in the TENURE AS A CONDITION OF EMPLOYMENT (TACOE) appointment manual and requires approval of



the DEPARTMENT, CHAIR, DEAN, Provost, President, and Board of Trustees, as described in the FIU Provost website. Tenure-track faculty appointments are approved by the Dean in accordance with University policy.

## 2. Qualifications

- a. Assistant Professor. Qualifications for this rank include a terminal degree appropriate to the specialization (normally a PhD or MD). Candidates for appointment as HWCOT Faculty at the level of Assistant Professor must meet the requirements outlined in the *FIU Tenure and Promotion Manual*, and in the promotion and tenure policies of HWCOT.
- b. Associate Professor and Professor. Qualifications for this rank include a terminal degree appropriate to the specialization (normally a PhD or MD). Candidates for appointment as HWCOT Faculty at the level of Associate Professor and Professor must meet the requirements outlined in the *FIU Tenure and Promotion Manual*, and in the promotion and tenure policies of HWCOT.

## C. Promotions on Tenure Track: Criteria and Process

### 1. Criteria for Promotion on Tenure Track

#### a. General Considerations

HWCOT tenure track candidates eligible for promotion and tenure must satisfy standards in areas of faculty responsibility: teaching/educational scholarship, research/scholarship, and patient care/service. This section is a general consideration of the standards for promotion and tenure in each of these areas of responsibility. Individual departments will delineate specific criteria in each of the three areas.

1. **Teaching.** HWCOT does not impose a unitary model of teaching. It is expected that the excellence of the educator will be documented through development of course/curriculum, student evaluations, documentation of student learning, successful mentorship of trainees, and/or receipt of teaching awards. In addition, the amount and significance of participation in departmental courses are measures of educational contributions. Faculty Members may bear a responsibility for the development of a particular curriculum or program. It is also recognized that most teaching in clinical academic units takes place in small groups; objective evaluations by students and evidence of student learning are considered by the HWCOT APT Tenure Subcommittee as well as any input from the candidate's department with documentation from acknowledged academic peers. Faculty

Members' active involvement in the development of textbooks or other teaching materials or Continuing Medical Education are additional factors that would contribute towards the overall evaluation.

Faculty members engaged in educating PhD students are expected to mentor students throughout their academic careers.

**2. Research/Scholarship.** As with teaching, HWCOT does not mandate a particular model of medical research/scholarship. The quality of a candidate's research is the most important factor in evaluating the research product as related to tenure or promotion. The evaluation for promotion and/or tenure is related to the concept of "reputation among peers." Merit is an assessment of one's abilities by those who are actively engaged in similar efforts. Publication in peer-reviewed journals and support derived from peer-reviewed, competitive grant requests are the *sine qua non* for an assessment of the research contributions needed for promotion. An evaluation of the publication and funding records by way of letters from outside evaluators who are unbiased leaders in the candidate's field is imperative.

The purpose of a publication record is to demonstrate the value of contributions to the advancement of scholarship and the discovery of new knowledge that is transmitted to professional colleagues. The publication record also confirms that the candidate has chosen a particular area of study and over time has become an expert in that area. The HWCOT APT Tenure Subcommittee will rely heavily upon the comments of external colleagues in the evaluation of the research and scholarly contributions of candidates. The HWCOT APT Subcommittee will be interested in the quality and importance of both laboratory, clinical and educational research.

In order to conduct the investigations that result in publications demonstrating the candidate's contributions to the advancement of biomedical science, it is essential that outside support be obtained. The presence and level of such external research support are often taken as measurements of the candidate's merit for promotion. The amount of such support, although critical to the conduct of the work, need not be a reflection of the value of the research. It is expected that Faculty Members on the tenure track will be the PI (not co-PI) of at least one R01-level grant active within the 6-year Probationary Period or serve as

the PI on a Program Project (P01) award. Renewal of an R01-level grant as PI during the Probationary Period is expected for those who enter the Probationary Period with an existing RO1. Funds received as the result of a competitive review in which professional colleagues have made an independent assessment of the research ideas and direction of the candidate are looked upon as positive indications that promotion is merited. In addition, Faculty Members engaged in educating PhD students have a primary responsibility to obtain external funding to support the research of their doctoral students. Conference presentations and publications with doctoral students are expected.

**3. Patient Care/Service.** Clinical Faculty Members will engage in patient care and service. All Faculty Members, however, have service responsibilities that extend to HWCOP and University communities, as well as to local, state or national association activities, community projects, and the like. While service on HWCOP committees is expected of all Faculty Members, a candidate who has engaged in extraordinary service to HWCOP or the University should be given credit for the work. Service alone, however, will not warrant promotion or tenure. Contrariwise, a candidate who has failed to perform ordinary and expected service to HWCOP may be denied tenure and may have such failure taken into account in the salary review process.

Service to the profession through participation in local, state, national or international association activities, community projects and the like support the mission of HWCOP and are therefore relevant in assessing the overall suitability of a candidate. However, mere membership in an organization or simply attending its meetings is not sufficient. To be considered, the candidate's activities must significantly involve matters relating to health care delivery, medical education, public service or the like. Examples include providing leadership in professional organizations; presenting a research paper in oral format or serving as moderator or discussant at professional meetings; preparing course materials or lecturing at continuing medical education programs; serving as an officer in a public interest organization; support of student activities having an educational or professional focus; and, professional participation in public service or governmental agencies.

Other evaluation factors include participation in recognized national and international organizations and institutions as related to one's discipline or clinical specialty. Membership on study sections or other review bodies of the National Institutes of Health, National Science Foundation, U.S.

Department of Veterans Affairs, U.S. Department of Agriculture, and select non-governmental organizations are hallmarks of a national reputation in a particular field. Presentation of peer-reviewed work in press, online, and in meetings and invited participation in well-recognized and/or professional society regional, national and international meetings demonstrates one's reputation among peers. Leadership of scientific societies and associations shows that one is well-regarded by professional colleagues.

Candidates for promotion on the tenure-track and Faculty Members receiving tenure must satisfy standards in each of the areas of teaching, research/scholarship, service or clinical care and demonstrate exemplary adherence to applicable standards of professionalism and institutional values. They should be ranked at least good in each, and excellent in at least one. (Additional information will be found in the *FIU Tenure and Promotion Manual* and in departmental policies and procedures.)

**a. Promotion from Assistant to Associate Professor, HWCOP, Tenure Track.** An Assistant Professor may be eligible for promotion to the rank of Associate Professor prior to the end of the sixth year of tenure-earning service, including any prior service credit granted at the time of initial appointment. When a Faculty Member is credited with tenure-earning service at the time of initial appointment, the Faculty Member may withdraw all or a portion of such credit one time prior to formal application for promotion. If an Assistant Professor has not been promoted by the end of the Faculty Member's sixth year of tenure-earning service, including any prior service credit granted at the time of initial appointment but not withdrawn, such Faculty Member may be terminated at the end of the next academic year as provided in the *FIU Tenure and Promotion Manual*.

A candidate for promotion to the rank of Associate Professor must meet University requirements for the level and, among these requirements, must establish:

A commitment to excellence in scholarly research and publication, normally demonstrated in external funding and scholarly work published or accepted for publication. Examples of research and scholarship activities:

- Scholarly publications and research productivity (laboratory, clinical or educational) should be evaluated based on originality, scientific competence and convincing documentation.

- Original publications: reviewers will consider senior authorship, quality of peer-reviewed journals and impact on the field in addition to the actual number of publications.
- For Faculty Members with a major time assignment to basic research, evidence of peer-reviewed external funding.
- For Faculty who are primarily clinicians or educators, clinical program building and excellence in clinical or educational research as applicable. Scholarly publications on pedagogy or clinical trials will be evaluated for their contributions to advancing the practice of clinical medicine or educational scholarship.

A record of significant clinical and educational career service would include HWCOC committee work/leadership, student advisory responsibilities, participation in the life of the HWCOC community, and the potential for significant participation in local, state, regional, national or international association activities, community projects or other similar activities. For Faculty Members with assignments to patient care, the candidate should not only display scientific knowledge and expertise in his/her field, but also should be skilled in the techniques of delivery of health care and recognized by peers. There must be evidence of:

- Excellence in patient care, as demonstrated by student, resident and fellow evaluations. Other documentation can be supplied by receipt of clinical awards.
- Excellence in health outcome research or in developing new programs.
- Local, regional, or national recognition by peers as an excellent clinician, health outcome researcher or consultant; evidence of a high level of competence and accomplishment in clinical service or health outcome research.
- Development and maintenance of clinical skills and/or programs that provide unique local or regional services; programs highly evaluated by patients or programs that measurably improve patient outcomes.

Excellence in teaching and education scholarship normally demonstrated through strong peer evaluations of teaching, positive student evaluations/perceptions of teaching, awards, participation in development of teaching materials and elements of the curriculum, publication of education scholarship and collegial participation in teaching teams in integrated courses. Priority should be accorded to the candidate's teaching skills, their positive influence on students, and mastery of his/her field. Faculty members engaged in educating PhD

students are expected to mentor doctoral students throughout their academic careers. They have a primary responsibility to obtain external funding to support the research of their doctoral students. Teaching evaluations from students, residents, fellows, and peers will be used as a major criterion for assessment. Specific evaluation criteria may include:

- Teaching evaluations must exceed the departmental average.
- Positive evaluation of performance in academic advisement and mentoring of students.
- Impact on the career development of trainees.

**b. Promotion from Associate Professor to Professor on the Tenure Track.** A consideration for a promotion to Professor follows continued exemplary academic service to HWCUM and University in all assigned responsibilities. A tenured Associate Professor in HWCUM is eligible for promotion to the rank of Professor when they meet all the criteria for Associate Professor plus demonstrating evidence of more extensive productivity in the area of scholarly activity. The usual time frame is minimally 5 years in rank. Exceptional candidates may do this in a shorter timeframe. Candidates must show:

Continuous progressive excellence in funded scholarly research and publication (as evidenced by continuous funding and scholarly effort and a pattern of regular publication of substantial scholarly works) and national/international recognition of the candidate's work, and an impact on the development of a discipline. It is expected that faculty conducting laboratory research will have had a renewal of an R01-level grant, or have been awarded multiple R01s, or serve as PI on an NIH-sponsored Program Project (P01 Award) awarded an R01 or a renewal of an R01.

Strong commitment to excellence and creativity in teaching and student learning, qualifications and an exemplary teacher/mentor.

Nationally recognized clinical program and/or excellence in biomedical, educational or clinical research. Scholarly publications should be evaluated for their contributions to advancing the practice of clinical medicine, medical education and/or biomedical research.

A record of substantial service to HWCUM and the University community, and significant participation in local, state, national or recognized international association activities, community projects or the like including a sustained record of participation within the collegial system of governance by holding positions on HWCUM and University committees or other University-wide activities, such as the Faculty Senate.

## 2. Process

- a. Each Faculty Member eligible for promotion or tenure shall submit a file for promotion or tenure in accordance with these policies, those of his or her academic department, as may be amended or re-designated from time to time. The promotion criteria and processes set forth in the FIU Tenure and Promotion Manual as may be amended from time to time governs tenure and promotions processes. [FIU Tenure and Promotion Manual](#)
- b. Departmental Responsibilities
  - i. The department Chair is responsible for requesting the necessary Solicited Letters of Evaluation, according to criteria outlined in the *FIU Tenure and Promotion Manual*. [FIU Tenure and Promotion Manual](#). The department Chair to which the candidate has been or will be appointed will first review the applicant file and provide a recommendation to the Dean. The Chair appoints an *ad hoc* departmental T&P committee of tenured Faculty at or above the rank of the candidate. Candidates will be informed of the identities of the outside reviewers and shall be given the opportunity to add up to two names from whom letters will be solicited and to strike up to two names from the list. Outside letters are intended to be an independent, professional evaluation. Normally, letters should not be solicited from former mentors, mentees, coauthors, co-editors, or anyone who has been associated with the candidate closely enough so that there would be reason to question the impartiality of the evaluation. In general, the individuals providing letters of evaluation should not have been closely associated with the candidate for a period of at least five years. Exceptions must be accompanied by an explanation in the dossier. The external letter writers need to know that either the candidate has waived that right, or the letters will be available for the candidate's review.
  - ii. Tenured Associate Professors and tenured full Professors may vote on tenure applicants in the Assistant to Associate Professor promotion and tenure process.
  - iii. Only tenured full Professors may vote on promotions to Professor.
  - iv. The Chair, if tenured, will vote as a member of the ad-hoc committee in the case of fewer than three eligible Faculty Members. In the case of more than three eligible Faculty Members, the Chair will provide an independent review and documented recommendation for the file. In the event that there are fewer than three members (including the Chair), the Dean shall appoint tenured Faculty Members from other HWCOS departments to constitute the departmental tenure and promotion committee until there are a sufficient number of tenured members of the department in question.

v. Each department will hold a meeting of the ad hoc departmental committee appointed to discuss promotion and tenure files and recommend tenure.

vi. The file will then be forwarded to the HWCOT APT Tenure Subcommittee regardless of the department's recommendation.

c. Charge of the HWCOT APT Committee

i. Evaluation of Scholarship and Professionalism. In evaluating the candidate's scholarship, the HWCOT APT Tenure Subcommittee shall make an assessment of the major scholarly works produced by the candidate while at FIU. For a candidate who was awarded credit toward tenure, work during the credit earning time can also be considered. Other scholarly works may also be considered and reviewed. In evaluating the candidate's professionalism, the HWCOT APT Tenure Subcommittee shall assess a candidate's adherence to the standards of professionalism as defined in the Code of Professional Conduct for Student-Faculty Relationships ([Code of Professional Conduct](#)) and to the AMA Code of Medical Ethics. The subcommittee makes a recommendation to the Dean.

ii. Evaluation of the Solicited Letters of Evaluation (External Reviews). The number of letters will be consistent with applicable FIU policy ([FIU Tenure and Promotion Manual](#)). The table on the following page summarizes requirements by track and rank. The external reviewers should be informed of the scholarship standard for the relevant rank or for tenure and asked to review the scholarly work in relation to the applicable standard set forth in the *FIU Tenure and Promotion Manual* ([FIU Tenure and Promotion Manual](#)). The reviews, and any responses by the candidate, shall be part of the candidate's file for promotion or tenure.

The results of HWCOT APT Tenure Subcommittee decision and the basis for the Committee's recommendation are prepared in a written report by a member or members designated by the chair of the subcommittee. This written report serves as a recommendation to the Dean. Any HWCOT APT Tenure Subcommittee dissenting views must be reported to the Executive Associate Dean for Academic Affairs (EADAA) and the Dean.

d. The Dean's Recommendation

The Dean shall make his or her independent review of the candidate's application and file and determine whether to then



recommend the candidate to the Provost for promotion or tenure. The Dean shall notify the candidate of his/her decision.

#### D. Annual Evaluations and, Third Year Review, for Tenure Track Faculty

At HWCOC, it is expected that each tenured and tenure track Faculty Member will satisfactorily discharge his or her responsibilities throughout the length of his or her service at FIU. It is further expected that as each Faculty Member advances in rank and seniority, the Faculty Member will effectively fulfill the commensurately greater responsibilities attending his or her advanced status. The policies are enacted to ensure the Faculty Member's development and effective service at HWCOC. In the event of a conflict between this manual and the FIU Tenure and Promotion Manual, the provisions of the FIU Tenure and Promotion Manual shall control.

##### **Annual Evaluations**

a. Self-evaluation. Each Faculty Member shall prepare for his/her Chair an Annual Report. The report shall enumerate his or her activities for the past year in the areas of teaching, research and service, and any other information the Faculty Member believes is relevant to his or her service at HWCOC. In addition, the Faculty Member should outline his or her goals and anticipated projects for the next academic year in the areas of teaching, research and service. The evaluation also includes a review of the annual assignment and any unmet goals from the prior academic year.

b. Chair's Review. The Chair shall review each annual report and meet with the Faculty Member to discuss the Faculty Member's activities, including review of scholarly activities, funding, student evaluation forms, and goals and projects. At the time of this meeting the Chair shall indicate any areas in which the Faculty Member is deficient or otherwise has need for improvement and convey any suggestions for improvement or paths for development the Chair might have for the Faculty Member. The Chair shall also prepare a written annual evaluation of each tenure-track Faculty Member. The tenure-track Faculty Member shall have the opportunity to discuss the written evaluation, attach concise comments and sign it, upon which it will be forwarded to the Executive Associate Dean for Academic Affairs and Dean.

c. Progress Towards Tenure. As part of the annual evaluation, a Faculty Member eligible for tenure shall be apprised in writing once each year of his or her progress toward tenure. These appraisals are not binding upon HWCOC or the University and shall be included as a separate component of the annual evaluation.

**Third-Year Review (Tenure Track)**

Tenure-track Faculty Members will undergo a third-year review. The purpose shall be to provide the Faculty Member with an overall assessment of progress toward tenure based upon the norms of the discipline. This review shall be qualitatively different and more comprehensive than the annual evaluation. If the third-year review finds that there has been unsatisfactory progress, this may result in a notice of non-renewal or transfer to the non-tenure track.

- 1. Composition of Third-Year Review Committee.** The Third-Year Review Committee shall consist of three tenured Faculty Members of the tenure-granting department/school, plus the Chair of the department. In cases of a Faculty Member on a joint appointment, a member of the second unit will be added to the Third-Year Review Committee of the tenure-granting department/school. If the departmental committee has fewer than three eligible members (including the Chair), the Dean shall appoint tenured Faculty Members from other departments in HWCOT to constitute the Third-Year Review Committee until a sufficient number of eligible tenured members have been appointed to the department.
- 2. Contents.** The assessment shall focus on the following areas of faculty performance: teaching, research/scholarship, patient care/service and professionalism. The assessment will be both qualitative and, to the extent possible, quantitative, and comprehensive over the three years of performance. The committee shall assess whether the record in the four performance areas indicates progress toward expected levels of productivity at the time of tenure. The Third-Year Review shall include a written report from the committee, with separate comments from the Chair that reflect the committee's deliberations and identifies any deficiencies in the Faculty Member's record. The report shall also contain recommended changes in emphases or priorities that may remedy deficiencies. The report shall be signed and dated by the Chair and the Third-Year Review Committee and distributed to the Faculty Member. The Faculty Member shall return the review, signed and dated (signature indicates receipt and does not imply agreement with the report's contents). The evaluated Faculty Member may provide a written response to be attached to the Third-Year Review report. The report is reviewed and the candidate is appraised by the Executive Associate Dean for Academic Affairs and the Dean. The appraisals and file are submitted to the Provost for review.
- 3. Criteria for Promotion and Tenure.** The University, HWCOT and departmental criteria for promotion and tenure are established and are described in this manual and are available on the FIU website ([FIU Tenure and Promotion Manual](#)). Faculty Members may be awarded credit toward tenure in accordance with the FIU Tenure and Promotion Manual. Each department may establish and promulgate its discipline's tenure norms as a basis for the Third-Year Review, including a statement of the relative roles of teaching, research/scholarship, service/patient care,

professionalism in the duties of tenure-track Faculty, consistent with overall University criteria.

4. **Document Placement.** The Third-Year Review document shall become part of the Faculty Member's personnel record in both the departmental and the Dean's offices.

#### E. Sustained Performance Evaluations for Tenured Faculty

Once the Faculty Member has achieved tenure, and independently of any review process associated with a requested promotion, the Faculty Member shall be formally reviewed every seven years. The purpose of this evaluation is to document sustained performance as a tenured faculty member during the previous six years of assigned duties and to promote continued professional growth and development. Specifically, the evaluation is designed to determine if a tenured faculty member's performance is satisfactory or unsatisfactory.

The preliminary evaluation process shall be undertaken by a committee of not more than three tenured Faculty Members of the same or higher rank, appointed by the Dean. The committees shall evaluate all areas of faculty responsibility: teaching, research/scholarship and, service/patient care and professionalism. The Faculty Member being evaluated shall submit to the committee:

- A current curriculum vitae.
- A description of the Faculty Member's teaching activities from the time of last evaluation.
- A description of the Faculty Member's scholarly activities over the same time period, as well as copies of any publications if requested.
- A description of service to HWCUM, the profession, and any civic and community organizations.
- The Faculty Member's annual evaluations.
- Pertinent information contained in the Faculty Member's personnel file.

The evaluation of scholarship may, but need not, include reviews of scholarly work by those outside HWCUM who have written and/or otherwise established a reputation as knowledgeable in the field of the Faculty Member's scholarly activity.

Thereafter, with the benefit of the committee's work, the Dean shall evaluate the Faculty Member's performance of his or her obligations and discuss with the Faculty Member those conclusions, including noting areas where improvement is needed or might be effected, and any opportunities for development. The determination that the Faculty Member is or is not properly discharging his or her obligations may affect such matters as the Faculty Member's employment, compensation and course load, as well as the availability of research leaves and sabbaticals. This report is submitted to the Provost for approval.

### **Dean-Appointed Subcommittee**

If the Dean at any time believes that a tenured Faculty Member may not be satisfactorily performing the Faculty Member's duties, the Dean may appoint a subcommittee of tenured faculty to submit a report evaluating the Faculty Member's performance and develop recommendations for periodic reviews, in addition to the annual reviews.

## **IV. Employed Non-Tenure Tracks: Clinical/Health Outcomes Scholar, Research Scientist, Educator Scholar and Medical Librarian**

### **A. General considerations**

Non-tenured Faculty Members are at-will employees. All Clinical/Health Outcomes Scholar, Research Scientist, Educator Scholar and Medical Librarian faculty appointments in HWCOP that are non-tenured, will have their conditions stated in writing at the time of their appointment. All full-time and part-time non-tenured track faculty shall be appointed as members of either the Clinical/Health Outcomes Scholar track, the Research Scientist track, the Educator Scholar track, or the Medical Librarian track in HWCOP.

Where board eligibility or certification constitute criteria for appointment or promotion of MD or DO candidates, this refers to one of the boards and/or subspecialty boards of the American Board of Medical Specialties or of the American Osteopathic Association Board. For physician assistant candidates, this refers to certification from the National Commission on Certification of Physician Assistants (NCCPA), including the Physician Assistant-Certified (PA-C) designation. Other types of board certification, including certification from boards outside of the U.S. may be considered on a case-by-case basis when another board is known to use equivalent or more rigorous criteria for granting certification.

### **B. Appointments**

#### **1. Process**

Faculty Members' appointment in the non-tenure Clinical/Health Outcomes Scholar, Research Scientist, Educator Scholar and Medical Librarian tracks are at the discretion of the Chairs, and requires review by the APT Committee, and the approval of the Dean. Reappointments are determined at the discretion of the Chair.

#### **2. Qualifications**

##### **a. Clinical/Health Outcomes Scholar**

**i. Instructor.** Candidates for appointment to the rank of Instructor on the Clinical/Health Outcomes Scholar track, if physicians, should generally be board-eligible in their specialties. Candidates should demonstrate the potential to develop the characteristics to achieve higher ranks in this track. Instructors are generally expected to hold the terminal degree in their field.

**ii. Assistant Professor.** Candidates for appointment to the rank of Assistant Professor in the Clinical/Health Outcomes Scholar track will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active. Candidates for appointment to the rank of Assistant Professor, Clinical/Health Outcomes Scholar track who deliver direct patient care are also expected to be board--certified or board-eligible; for those faculty that have received training in U.S. institutions,, it is expected that board certification will occur within a 3 year period of faculty appointment. Candidates who do not deliver direct patient care are generally expected to hold the terminal degree in their field. Each candidate must show promise to develop the characteristics to achieve higher ranks in this track, including the use of a scholarly approach to patient care and/or health outcomes- related scholarship, evaluation, or management/leadership.

**iii. Associate Professor.** Candidates for appointment to the rank of Associate Professor in the Clinical/Health Outcomes Scholar track will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active. Candidates for appointment to the rank of Associate Professor, Clinical/Health Outcome Scholar track are also generally expected to be board-certified, shall additionally be outstanding in clinical care or Health Outcomes-related activities or management/administration/leadership. Leadership in a related regional or national organization constitutes evidence of leadership. Their scholarly approach and scholarship should be sufficient to establish a strong local/regional reputation in their field and demonstrate clear promise of a national or international reputation with continued consistent performance. Their leadership in administration/management should be sufficient to establish a strong local/regional reputation in their field and demonstrate clear promise of a national or international reputation with continued consistent performance. The qualifications for a candidate to this rank would be consistent

with those required for promotion to this rank, which qualifications can be found in this manual.

**iv. Professor.** Candidates for appointment to the rank of Professor in the Clinical/Health Outcomes Scholar track will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active. Candidates for appointment to the rank of Professor, Clinical/Health Outcome Scholar track are also expected to be board-certified (if applicable). For appointment to the rank of Professor, Clinical/Health Outcomes Scholar track, the candidate shall demonstrate continuous outstanding performance in clinical care, health outcomes-related scholarship, evaluation, or management/leadership sufficient to achieve a national and/or international reputation in their field. In general, the qualifications for a candidate to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in this manual.

b. Research Scientist

**i. Instructor.** Candidates for appointment to the rank of Instructor in the Research Scientist track must demonstrate contributions to current or the ability to contribute to planned biomedical, clinical or translational research activities. Instructors are generally expected to hold the terminal degree in their field and must be capable of executing unsupervised experimentation.

**ii. Assistant Professor.** Candidates for appointment to the rank of Assistant Professor in the Research Scientist track will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active with evidence of the ability to contribute to current or planned biomedical, clinical or translational research programs. They shall additionally have demonstrated academic promise sufficient either to become an independent investigator or to be a sustaining member of a program project or research team.

**iii. Associate Professor.** Candidates for appointment to the rank of Associate Professor in the Research Scientist track will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active with evidence of the ability to contribute to current or planned biomedical, clinical or translational research programs. Candidates will show evidence of

peer-reviewed publications and participation in funded projects, as a co-Principal investigator (integral part of a research team) or as Principal investigator. They will have an integral role in a major funded laboratory or clinical research program. Their scholarly approach and scholarship should be sufficient to establish a strong local/regional reputation in their field and demonstrate clear promise of a national or international reputation with continued consistent performance. The qualifications for a candidate to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in this manual.

**iv. Professor.** For appointment to the rank of Professor in the Research Scientist track, the candidate will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active with evidence of the ability to contribute to current or planned biomedical, clinical or translational research programs. They shall demonstrate continuing outstanding performance in scholarship and substantial achievements sufficient to achieve a national or international reputation in their field. The expectation is that a candidate will be serving in an integral and leadership role in a funded program with publications and contributing to the program's research portfolio by actively participating in a major role in funded projects in the laboratory. The candidate may also have obtained independent funding. The qualifications for a candidate to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in this manual.

#### c. Educator Scholar

**i. Instructor.** Candidates for appointment to the rank of Instructor in the Educator Scholar track are from various disciplines in clinical medicine, biological science, behavioral and social science, and medical humanities. Their primary professional activities at FIU are in curriculum development, mentoring/advising, teaching, learner assessment and/or educational leadership, as well as in scholarship related to these activities. May also have engagement in clinical practice. They must demonstrate contributions to current educational activities or the ability to contribute to planned educational activities. Educational scholarship/activities are defined as curriculum development/assessment, mentoring/advising, teaching, learner assessment and/or educational leadership. Instructors are generally expected to hold the terminal degree in their field.

**ii. Assistant Professor.** Candidates for appointment to the rank of Assistant Professor in the Educator Scholar track are generally expected to hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active with evidence of the ability to contribute to current or planned educational activities using a scholarly approach. Educational scholarship activities are defined as curriculum development/assessment, mentoring/advising, teaching, learner assessment and/or educational or administrative leadership. May have a minor engagement in clinical practice.

**iii. Associate Professor.** Candidates for appointment to the rank of Associate Professor, Educator Scholar track, will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active with evidence of the ability to contribute to current or planned educational activities. Their use of scholarly approach and scholarship should be sufficient to establish a strong local/regional reputation in education. Educational scholarship activities are defined as curriculum development/assessment, mentoring/advising, teaching, learner assessment and/or educational or administrative leadership. May have a minor engagement in clinical practice. The qualifications for a candidate to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in these this manual.

**iv. Professor.** For appointment to the rank of Professor, Educator Scholar track, the candidate will hold a terminal professional degree (usually the MD or the PhD degree) in the field in which such candidate is active with evidence of the ability to contribute to current or planned educational activities programs. They should demonstrate achievements sufficient to establish a strong national and/or international reputation in education. Educational activities are defined as curriculum development/assessment, mentoring/advising, teaching, learner assessment, publications and/or educational or administrative leadership. Publications may include novel approaches to medical education or reviews thereof. The candidate may have engagement in clinical practice. The qualifications for a candidate to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in these this manual.

d. Medical Librarian



**i. Instructor Medical Librarian.** Employment in this position shall be considered initial professional employment. The qualifications include:

- Master's degree in library science from a program accredited by the American Library Association.
- An academic record and recommendations that indicate a potential for successful performance as an academic librarian.
- No previous experience is required.

**ii. Assistant Medical Librarian.** An appointment to this rank requires (1) a documented record of effective performance that shows increasing responsibility and continuing growth, (2) evidence of strong commitment to the library profession and potential for making scholarly contributions to the field. The qualifications for a candidate to be appointed to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in these this manual.

- Master's degree in library science from an American Library Association accredited school.
- Desirable: Additional academic course work and/or participation in institutes, workshops, or conferences which would further one's education.
- A minimum of two years' professional experience after receiving the master's degree in library science. Some appropriate professional, non-library experience or responsible nonprofessional library experience may be substituted.
- Faculty Members are usually in rank for five years at the preceding rank, except in exceptional circumstances.

**iii. Associate Medical Librarian.** A librarian holding this title shall have made substantial contributions to library professional organizations and/or to the institution or library where employed and achieved a high level of competence in bibliographical activities, in research or in other professional endeavors. The qualifications for a candidate to be appointed to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in this manual.

- Master's degree in library science from an American Library Association accredited school.
- Additional academic course work and/or participation in institutes, workshops, or conferences which would further one's education.

- Desirable: Second master's degree or doctoral degree in progress or achieved.
- A minimum of five years' experience as a professional librarian after receiving the master's degree in library science. Some years of appropriate professional, non-library experience or responsible nonprofessional library experience may be substituted. Faculty Members are usually in rank for five years at the preceding rank, except in exceptional circumstances.
- Evidence of scholarly contribution to this field.

**iv. Medical Librarian.** A librarian holding this title shall have made outstanding achievements in bibliographical activities, in research or in other professional endeavors. The librarian should have a documented record of effective performance that shows an increasing responsibility and continuing growth and have been in rank as an Associate Medical Librarian for 5 years except in exceptional circumstances. The librarian should have demonstrated exceptional service to the library profession and to the academic institution where employed through successful committee work, offices held, projects completed or other evidence of exceptional commitment to the concerns of the institution and the profession. The qualifications for a candidate to be appointed to this rank would be consistent with those required for promotion to this rank, which qualifications can be found in this manual.

- Master's degree in library science from an American Library Association accredited school.
- Additional academic course work and/or participation in institutes, workshops, or conferences which would further one's education.
- Desirable: Second master's degree or doctoral degree in progress or achieved.
- A minimum of ten years' experience as a professional librarian after receiving the master's degree in library science. Some years of appropriate professional, non-library experience or responsible nonprofessional library experience may be substituted.
- Sustained scholarly contributions to the field.

### C. Promotions of Employed Non-Tenure Track Faculty

#### 1. Criteria for Promotion

The criteria for promotion are described below. Each department may establish additional criteria relative to the roles of teaching, research/scholarship, and service/patient care in their discipline. Level of reputation and the consistency of quality and duration of productivity and service are the criteria distinguishing the associate professor and professor ranks. Promotion to Associate Professor requires a strong local/regional reputation with the promise of a national or international reputation. Promotion to Professor requires demonstration of a strong regional, national or international reputation.

**a. Clinical/Health Outcomes Scholar Track.** Achievements can include patient care, clinical research, health outcomes or clinical management/leadership, and/or health outcomes-related research. Faculty on this track typically engage in college-supported teaching. Scholarship, teaching, and professional/leadership service are requisites for promotion to Associate Professor or Professor on the Clinical/Health Outcomes Scholar track. The scholarly activity and scholarship can include clinical, epidemiologic and/or health systems domains, where the higher level of reputation should be established. They may also engage in scholarly approaches and/or scholarship in medical student or resident/fellow education.

The balance among accomplishments within each criterion below may vary considerably from one candidate to another, but achievements in accordance with the requirements above must be present before appointment or promotion is granted. It is not necessary that a candidate achieve each and every example under these criteria.

Promotion from Instructor to Assistant Professor. To qualify for promotion to Assistant Professor on the Clinical/Health Outcomes Scholar track, the Faculty Member must meet the criteria to be appointed as an Assistant Professor on the Clinical/Health Outcomes Scholar Track.

Promotions from Assistant Professor to Associate Professor. To qualify for promotion from Assistant Professor to Associate Professor on the Clinical/Health Outcomes Scholar track, the Faculty Member must meet the criteria to be appointed as an Associate Professor on the Clinical/Health Outcomes Scholar Track. Candidates for promotion must generally have a minimum of sixty months of professional experience as a medical school faculty member and are usually in rank for five years at the preceding rank, except in exceptional circumstances.

Promotions from Associate Professor to Professor. To qualify for promotion from Associate Professor to Professor on the Clinical/Health Outcomes Scholar

track, the Faculty Member must meet the criteria to be appointed as a Professor on the Clinical/Health Outcomes Scholar Track. Candidates for promotion must generally have at least 5 years in rank as an Associate Professor, except in exceptional circumstances.

**b. Research Scientist Track.** Promotions in the Research Scientist track will be based on research accomplishments and professional experience. The Faculty Member must hold a terminal professional degree, usually MD or PhD. Candidates for promotion to Associate Professor, research track should have research publications and demonstrated productivity as individuals and *as team members and/or leaders*. Scholarship is a requisite for promotion or appointment as Associate Professor and Professor on the Research Scientist track, and teaching and professional service are usually required. To qualify for appointment or promotion to Associate Professor or Professor on the Research Scientist track, the greater emphasis will be placed on scholarly activity, including actively participating in funded research as part of a research team or as an independent investigator. Evidence of teaching or professional service will also be considered for those candidates.

Promotion from Instructor to Assistant Professor. To qualify for promotion to Assistant Professor on the Research Scientist track, the Faculty Member must meet the criteria to be appointed as an Assistant Professor on the Research Scientist Track. Candidates for promotion must generally have twenty-four months of professional experience as a medical school faculty member.

Promotions from Assistant Professor to Associate Professor. To qualify for promotion from Assistant Professor to Associate Professor on the Research Scientist Track, the Faculty Member must meet the criteria to be appointed as an Associate Professor on the Research Scientist Track. Candidates for promotion must generally hold appointment as an Assistant Professor or Associate Professor for five years.

Promotions from Associate Professor to Professor. To qualify for promotion from Associate Professor to Professor on the Research Scientist Track, the Faculty Member must meet the criteria to be appointed as an Associate Professor or Professor, as applicable, on the Research Scientist Track.

**c. Educator Scholar Track.** Faculty members on this track are from various disciplines in clinical medicine, biological science, behavioral and social science, and medical humanities. Their primary professional activities at FIU are in curriculum development/assessment, mentoring/advising, teaching, learner assessment and/or educational leadership, as well as in

scholarship related to these activities. Their scholarly achievements and reputation are primarily in health professions education. They may also engage in scholarly approaches and/or scholarship in clinical medicine, biological science, behavioral and social science, legal and/or medical humanities domains. They may engage in clinical practice. Consideration for promotion will be given to the breadth of excellent and outstanding performance across one or more of the five domains of educational activity and the consistent use of a scholarly approach: (teaching, curriculum, mentoring/advising, learner assessment, and/or educational leadership/administration).

Promotion from Instructor to Assistant Professor. To qualify for promotion to Assistant Professor on the Educator Scholar track, the Faculty Member must meet the criteria to be appointed as an Assistant Professor on the Educator Scholar.

Promotions from Assistant Professor to Associate Professor. To qualify for promotion from Assistant Professor to Associate Professor on the Educator Scholar track, the Faculty Member must meet the criteria to be appointed as an Associate Professor on the Educator Scholar track. Faculty Members are usually in rank for a minimum of five years at the preceding rank, except in exceptional circumstances. Consideration will be given to the breadth of excellent and outstanding performance across one or more of the 5 domains of educational activity and the consistent use of a scholarly approach, (teaching, curriculum, mentoring/advising, learner assessment, and/or educational leadership/ administration). The candidate should effectively and constructively participate in community, public or institutional service.

Promotions from Associate Professor to Professor. To qualify for promotion from Associate Professor to Professor on the Educator Scholar track, the Faculty Member must meet the criteria to be appointed as a Professor on the Educator Scholar. Faculty Members are usually in rank for a minimum of five years at the preceding rank, except in exceptional circumstances

- Consideration will be given to the breadth of excellent and outstanding performance across one or more of the 5 domains of educational activity and the consistent use of a scholarly approach, (teaching, curriculum, mentoring/advising, learner assessment, and/or educational leadership/ administration) and publications. The candidate should effectively and constructively participate in community, public or institutional service

**d. Medical Librarian Track.** Ranks of Medical Librarian faculty parallel those of other members of HWCUM faculty: Instructor, Assistant, Associate and Medical Librarian.

The following minimum requirements are used for promotion consideration for Medical Librarians. Attainment of ranks is not based solely on years of satisfactory performance. Rather, there must be a documented record of distinction in performance, including demonstration of professional expertise, innovation, mature judgment and creativity. Promotion follows a progressive continuum from Instructor to Medical Librarian, i.e., promotion requests which involve skipping a rank will be denied. The criteria for promotion reflect those described in the *FIU Libraries Procedures & Guidelines for Promotion of Librarians*.

Promotion from Instructor Medical Librarian to Assistant Medical Librarian. To qualify for promotion from Instructor Medical Librarian to Assistant Medical Librarian on the Medical Librarian track, the Faculty Member must meet the criteria to be appointed as an Assistant Medical Librarian on the Medical Librarian track. To be considered for promotion to the rank of Assistant Medical Librarian, the candidate shall also have:

- Established a documented record of effective job performance as shown in the annual evaluation, including areas such as job knowledge, dependability, initiative, and professional attitude; and
- Made significant contributions to the library, and HWCOR or the University; and
- Provided evidence of strong commitment to the library profession; and
- Demonstrated potential for making research/scholarly/creative contributions.
- The candidate should effectively and constructively participate in community, public or institutional service.

Promotion from Assistant Medical Librarian to Associate Medical Librarian. To qualify for promotion from Assistant Medical Librarian to Associate Medical Librarian on the Medical Librarian track, the Faculty Member must meet the criteria to be appointed as an Associate Medical Librarian. Faculty Members are usually in rank for five years at the preceding rank, except in exceptional circumstances. To be considered for promotion to the rank of Associate Medical Librarian, the candidate shall have:

- Established a documented record of effective job performance as shown in the annual evaluation, including areas such as job knowledge, dependability, initiative, and professional attitude. Must show capacity to exercise the fully developed skills expected at the Associate Medical Librarian level; and
- Demonstrated substantial contribution with evidence of enhanced responsibility, continued growth, and strong commitment to the library, and HWCOR or the institution, or to library professional organizations, and
- Achieved a high level of competence in the areas of bibliographic activities, or in research, or in professional endeavors demonstrated by proficiency in a candidate's specialized areas of librarianship; and

- The candidate should effectively and constructively participate in community, public or institutional service.

Promotion from Associate Medical Librarian to Medical Librarian. To qualify for promotion from Associate Medical Librarian to Medical Librarian on the Medical Librarian track, the Faculty Member must meet the criteria to be appointed as a Medical Librarian. Faculty Members are usually in rank for five years at the preceding rank, except in exceptional circumstances. To be considered for promotion to the rank of Medical Librarian, the candidate shall have:

- Established a documented record of effective job performance as shown in the annual evaluation, including areas such as job knowledge, dependability, initiative, and professional attitude. Must show capacity to exercise the fully developed skills expected at the Medical Librarian level; and
- Demonstrated exceptional service to the library profession, and to HWCOR or University through successful committee work, offices held, projects completed, or other evidence of exceptional commitment to the concerns of the University and the profession; and
- Made outstanding achievements in the areas of bibliographic activities, or in research, or in professional endeavors demonstrated by proficiency in the candidate's specialized areas of librarianship; and
- The candidate should effectively and constructively participate in community, public or institutional service.

#### 1. Process

Promotions on the employed non-tenure tracks (Clinical/Health Outcomes Scholar, Research Scientist, Educator Scholar and Medical Librarian Tracks) will be initiated at the departmental level, based on cumulative yearly evaluation and support of the candidate's accomplishments and contributions to the missions of HWCOR. Departments will provide the Office of Academic Affairs with the names of potential candidates sufficiently in advance of the FIU Provost's annual deadline.

The Office of Academic Affairs will in turn communicate those names to the Office of the Provost. The list is not binding.

a. **Faculty Member's Responsibility.** Each Faculty Member eligible for promotion shall submit a file for promotion. Guidelines and guidance for the content of the promotions file are available on the HWCOR website, departments and from the Office of Academic Affairs.

b. **Departmental Responsibilities and Letters of Evaluation**

The Department is responsible for 3 elements of the promotions file that will be submitted to the APT committee: (1) All annual reviews since appointment or last promotion. (2) Solicitation of Letters of Evaluation from reviewers. These solicitations should be accompanied by the candidate's curriculum vitae, biographical summary and statements of teaching, research/creative works, and service. It is imperative that evaluators supporting promotions to the Professor level be positioned to attest to the candidate's national/international reputation. (3) Departmental promotion's committee report and Department Chair letter of support/recommendation.

Letters of Evaluation for candidates on the employed non-tenure tracks should not come from individuals who are any of the following:

1. A relative or close friend, or an individual with a personal relationship with the nominee
2. An individual who is closely professionally affiliated with the nominee, as a result of having in the last 5 years:
  - i. been a supervisor or trainee of the nominee
  - ii. shared funding with the nominee or have plans to do so in the immediate future
  - iii. considers themselves for any reason unable to provide an impartial review of the nomination.

The department will then review the completed applicant file and provide a recommendation whether to recommend promotion. Associate Professors and full Professors may vote on applicants in the Assistant to Associate Professor promotions process. Only full Professors may vote on promotions to Professor.

The Chair will vote as a member of the department in the case of fewer than three eligible Faculty Members. When the department has more than three eligible Faculty Members, the Chair will provide an independent review and documented recommendation for the file. When the department has fewer than three members (including the Chair), the Dean shall appoint Faculty Members from other HWCOR departments to constitute the departmental promotion committee until a sufficient number of eligible members have been appointed to the department.

Department policy will address who may be present at the meeting to discuss promotion files, and whether faculty may attend via the phone. Voting by proxy is not permitted.



c. **APT Committee Review.** The file will then be forwarded to the APT Committee regardless of the Department's recommendation. The APT Committee will review the file and make a recommendation to the Dean to adopt or modify the Department's recommendation. Prior to submitting to the Dean, the Executive Associate Dean for Academic Affairs shall review the file and forward to the Dean.

d. **Dean.** The Dean will review the file to recommend promotion or to deny promotion. The Dean's recommendation along with the promotion file will be forwarded to the Provost for review and final determination.

#### D. Evaluations and Maintenance of Status of Employed Non-Tenure Track Faculty

At HWCOP, it is expected that each non-tenured Faculty Member is expected to satisfactorily meet performance standards set as described in this *Promotion and Tenure Manual* and established by the Faculty Member's Department throughout the length of his or her service at FIU. It is further expected that as each Faculty Member advances in rank and seniority, the Faculty Member will effectively fulfill the commensurately greater responsibilities attending his or her advanced status. The following policies are enacted to ensure the Faculty Member's development and effective service at HWCOP:

**Self-evaluation.** Each non-tenured Faculty Member shall prepare for his/her Chair an Annual Report. The report shall enumerate his or her activities for the past year in the areas of teaching, research and service. The report should include the courses taught, any course materials developed, any publications completed or in progress, presentations made, other professional activities, civic and community activities, and any other information the Faculty Member believes is relevant to his or her service at HWCOP. In addition, the Faculty Member should outline his or her goals and anticipated projects for the next academic year in the areas of teaching, research and/or service.

**Chair's Review.** The Chair, or his/her designee, shall review each annual report and communicate with the Faculty Member about the Faculty Member's activities, student evaluations of teaching, and goals and projects. At the time of this meeting the Chair shall indicate areas of strength as well as any areas in which the Faculty Member has need for improvement and convey any suggestions for improvement or paths for development. Where applicable, the Chair shall comment on the Faculty Member's progress toward promotion. The communication is documented by a signed agreement from the Faculty Member and Chair.

**Academic Administrator Review.** In the event that a Faculty Member's primary duties are administrative and he or she reports primarily to someone other than a Chair, such supervising academic administrator shall review each annual report and communicate with the Faculty Member about the Faculty Member's activities, student evaluations of teaching (if applicable), and goals and projects. At the time of this meeting the supervising academic administrator shall indicate areas of strength as well as any areas in which the Faculty Member has need for improvement and convey any suggestions for improvement or paths for development. Where applicable, the supervising academic administrator shall comment on the Faculty Member's progress toward promotion. The communication is documented by a signed agreement from the Faculty Member and supervising academic administrator.

## V. Community-Based (Clinical and Research) Faculty

### A. Appointments

#### 1. Process

Faculty appointed in the Community-Based track initially shall be appointed by the Dean for a term of three academic years, renewable for additional academic years at the discretion of the Chairs, Executive Associate Dean for Academic Affairs or Research and upon approval of the Dean. Appointments in the Clinical track may be terminated at any time by Clinical Faculty Member's department Chair or the Dean.

#### 2. Qualifications

##### a. Community-Based (Clinical and Research) Instructor

An Instructor generally holds a terminal professional degree, usually MD or PhD. An Instructor has potential for a high level of ability in contributing to any or all of HWCUM's primary missions: education, service and/or research. This category is typically reserved for physicians/scientists who are in training, those in the arts or other non-medical or health fields who may contribute to the education of health outcomes trainees, or health providers who lack a doctoral degree. Those who deliver direct patient care have usually completed specialty training and are board-eligible or board-certified.

##### b. Community-Based (Clinical and Research) Assistant Professor

An Assistant Professor will generally hold a terminal professional degree, usually MD or PhD. Those who deliver direct patient care have usually completed specialty training and are board-eligible or

board-certified; and for those board-eligible faculty trained in U.S. institutions, board certification is expected within 3 years of faculty appointment and consistent with a timeframe determined by their specialty. An Assistant Professor will actively contribute to any or all of HWCOT's primary missions: education, service and/or research.

**c. Community Based (Clinical and Research) Associate Professor**

An Associate Professor will hold a terminal professional degree, usually MD or PhD. They have completed all appropriate postdoctoral training and in addition, have more extensive experience in clinical/basic science or professional practice in the field of specialization. Those who deliver direct patient care are generally board-certified or board eligible. An Associate Professor has a documented record of high quality and consistent contributions to any or all HWCOT's primary missions: education, service or research.

**d. Community-Based (Clinical and Research) Professor**

A Professor will hold a terminal professional degree, usually MD or PhD, and has completed all appropriate postdoctoral training. Those who deliver direct patient care are generally board-certified or board-eligible.

In addition to meeting all the qualifications required of Associate Professor, an appointee is recognized regionally and may also have national recognition as a contributor in the professional field, as demonstrated both through professional activities and by documentation from peers.

An appointee will usually hold or have held positions of leadership in local, regional or national professional organizations.

**3. Use of FIU Title**

Community-Based Faculty Members may not use their FIU title or FIU's name or trademarks in advertising their private medical practice or in other commercial activity. Use of the FIU title on peer-reviewed publications, such as professional journal articles, books and chapters is encouraged. Community Based Faculty may not directly or indirectly suggest by any means that they are providing clinical services or conducting basic research on behalf of HWCOT without the prior written approval of the Dean.

## B. Promotions

### 1. Process

**Faculty Application.** Applications for Clinical Faculty Members who are eligible for promotion may be submitted by the Clinical Faculty Member, his/her department chair, or an Associate Dean for Clinical Affairs or Executive Associate Dean for Academic Affairs or the Executive Associate Dean for Research. The application for promotion shall be submitted in accordance with these policies and those of his or her academic department. A promotions file for a Clinical faculty member shall consist at a minimum of an updated curriculum vitae and a statement of accomplishments and contributions to HWCOP missions since appointment or last promotion, which can be included in the Chair's letter of recommendation or as a separate document.

#### **Chairs', EADAA, and APT Committee Responsibilities.**

Once the Faculty Member has submitted their application, or if the application has been initiated by the Chair, the application shall be reviewed by the HWCOP APT Committee. Prior to submitting to the Dean, the Executive Associate Dean for Academic Affairs shall review the file and forward to the Dean for final review and recommendation.

### 2. Criteria for Promotion of:

#### a. Community-Based (Clinical and Research) Instructor to Assistant Professor.

Faculty Members in this category will be expected to meet the qualifications of a Community-Based Assistant Professor and have completed postgraduate training program, be board-eligible or certified, or completed post-doctoral training and show early evidence as productive and independent Faculty Members.

#### b. Community-Based (Clinical and Research) Assistant to Associate Professor.

Faculty Members in this category will be expected to meet the qualifications of a Community-Based Associate Professor. Associate Professors shall exhibit high levels of skill as practitioners, leaders and/or teachers and/or

researchers as part of continuing contribution to one or more of HWCOM's missions. They shall demonstrate the ability to stimulate students toward a scholarly approach to medical practice/research and be recognized as exemplary role models for students. Those who deliver direct patient care should provide high-quality patient care, as judged by their peers and by patients, and should willingly involve their patients in teaching activities. Departments may stipulate a required minimum of contact hours with trainees, or other criteria relevant to their missions as a criterion of promotion to this level. Candidates for promotion to the Associate Professor level have generally served a minimum of 5 years at the Assistant Professor level. Examples of research, teaching and professional service may include:

- Preparation and presentation of material in a well-organized, current, and stimulating fashion as viewed by faculty and by medical students.
- Publications and other scholarship
- Advising/counseling of medical students.
- Recognition as a clinical role model and mentor
- Participation in lay and community services as appropriate.

*Note:* It is not necessary for a candidate to achieve every example listed above.

- c. Community-Based (Clinical and Research) Associate Professor to Professor. Faculty Members in this category will be expected to meet the qualifications of a Community-Based Professor. Faculty at this level should demonstrate a more distinguished level of accomplishment, a longer record of academic involvement than an Associate Professor, or a much larger number of contact hours. They are expected to have received regional and/or national recognition as evidenced by service as an officer in a local, regional or national organization, or having displayed exceptional peer-recognized academic contributions in their clinical or basic science areas. In addition, they should be recognized as exemplary role models and teachers for students. Candidates for promotion to the Professor level have generally served a minimum of 5 years at the Associate Professor level.

### C. Evaluations, Reappointments, and Maintenance of Status of Clinical and Research Community Based Faculty

At HWCOT, it is expected that each Community-Based faculty member will satisfactorily discharge his or her responsibilities throughout the length of his or her service at FIU. It is further expected that as each Faculty Member advances in rank and seniority, the Faculty Member will effectively fulfill the commensurately greater responsibilities attending his or her advanced status. The following policies are enacted to ensure the Faculty Member's development and effective service at HWCOT:

#### **Annual review**

Community-based faculty with significant roles in teaching and/or assessing medical students, physician assistant, and/or other graduate students, shall receive an annual review each year. The report shall include relevant student evaluations of teaching, where appropriate, and feedback from course directors on efforts in teaching and/or assessment. Where applicable, the Chair shall comment on the Faculty Member's progress toward promotion.

## **VI. Adjunct Faculty**

### A. Appointments: Process and Qualifications

#### 1. Process

Appointments to the ranks of Adjunct Assistant through Adjunct Professor should be reserved for individuals who hold a primary paid appointment of comparable rank at another institution. They may or may not receive compensation for assignments at HWCOT. Adjunct Faculty Members are expected to contribute actively to the educational, service and/or research programs of HWCOT. Adjunct Faculty Members initially shall be appointed by the Dean for a term of two academic years, renewable for additional academic years at the discretion of the Executive Associate Dean for Academic Affairs, and upon approval of the Dean. They must have the approval of the FIU Dean of HWCOT, Executive Associate Dean of Research and the Vice President of Research and Economic Development to participate in research, submit research grants, or be listed as investigators on research grants at FIU. Research activities may require special arrangements such as contracts and other agreements.

Clinical and research activities may require special arrangements such as contracts and other agreements.

## 2. Qualifications

Assistant Professor. An Assistant Professor holds the PhD and/or MD, or equivalent degree and currently holds an equivalent rank at another institution and fulfills the HWCOC criteria. An appointee has potential for superior teaching, research, and service.

Associate Professor. An Associate Professor holds the PhD and/or MD, or equivalent degree and an equivalent title at another institution and fulfills the HWCOC criteria. An appointee to the rank of Associate Professor is assumed to have to be able to maintain a high level of performance as a teacher and, as appropriate, basic science or clinical investigator, and/or clinician.

Professor. A Professor holds the PhD and/or MD, or equivalent degree and an equivalent title at a similar institution and fulfills the HWCOC criteria. An appointee to the rank of Professor is assumed to have and to be able to maintain a high level of performance as a teacher and, as appropriate, basic science or clinical investigator, and/or clinician.

### B. Promotions

Adjunct Faculty may be promoted at FIU when they achieve promotion at their home institution if they meet the HWCOC criteria for promotion. This promotion does not connote an accompanying salary increase with said promotion. The Faculty Member will request that the Chair initiate the promotion. An updated CV, documentation of the promotion at the primary institution, and a statement of contributions to HWCOC's mission(s) since appointment/last promotion shall constitute the promotions packet. The Chair shall submit these materials, with a recommendation letter, to the HWCOC APT committee. The file will then go to the Executive Associate Dean for Academic Affairs or Executive Associate Dean for Research if appropriate, and finally the Dean.

## VII Definitions

“Annual Evaluations” means the evaluation that each Faculty Member will receive in accordance with this APT Manual.

“APT Committee” means the HWCOC Appointment, Promotion, and Tenure Committee.

“APT Manual” means this Appointment, Promotion, and Tenure Manual

“Basic Science Departments” refers to the following departments Cellular Biology and Pharmacology; Human and Molecular Genetics; Immunology and Nano-Medicine; and Translational Medicine.

“Chair” or “Department Chair” means the individual appointed as the Chair of a Department.

“Clinical Departments” refers to Anesthesiology; Dermatology; Emergency Medicine and Critical Care; Humanities, Health and Society; Interventional Radiology; Obstetrics and Gynecology; Ophthalmology; Orthopedics; Pathology; Pediatrics; Psychiatry and Behavioral Health; Radiation Oncology; Radiology; Surgery; and Urology.

“Dean” refers to the Dean of the Herbert Wertheim College of Medicine.

EADAA refers to the Executive Associate Dean for Academic Affairs

“Faculty Members” refers to all members of the Herbert Wertheim College of Medicine faculty as set forth in this APT Manual. This includes both employed and community-based faculty.

“FIU” means Florida International University.

“FIU Tenure and Promotion Manual” refers to the Florida International University Tenure and Promotion Manual.

“HWCOCM” means the Herbert Wertheim College of Medicine.

“Letters of Evaluation” means those internal and external letters of evaluation that Faculty Members being considered for promotion must obtain.

“Probationary Period” refers to the 6-year tenure track evaluation period.

“Rank” means the category of appointment for Faculty Members.

“Sustained Performance Evaluations” means evaluations of tenured faculty members.

“Tenure Subcommittee” means the subcommittee of the Appointment, Promotion, and Tenure Committee and evaluates candidates being considered for tenure.

## **VIII. Appendices**

### **A. Summary of Appointment and Promotion Procedure Requirements**



<b>APPOINTMENTS</b>		
<b>Employed Non-Tenure Track CHS/RS/ES and Tenure Track</b>		
<b>Action</b>	<b>National Search Required</b>	<b>Letters of Evaluation</b>
Instructor (full-time faculty)	No	0
Assistant Professor	Yes	Up to 3
Associate Professor	Yes	3
Professor	Yes	3
<b>Employed Non-Tenure Track Medical Librarian</b>		
<b>Action</b>	<b>National Search Required</b>	<b>Letters of Evaluation</b>
Instructor Medical Librarian (full-time faculty)	Yes	0
Assistant Medical Librarian (full-time faculty)	Yes	Up to 3
Associate Medical Librarian (full-time faculty)	Yes	3
Medical Librarian (full-time faculty)	Yes	3
<b>Community-Based (Clinical and Research) (Volunteer)</b>		
<b>Action</b>	<b>National Search Required</b>	<b>Letters of Evaluation</b>
Community-Based Instructor	No	0
Community-Based Assistant Professor	No	0
Community-Based Associate Professor	No	0
Community-Based Professor	No	0

<b>Adjunct</b>		
<b>Action</b>	<b>National Search Required</b>	<b>Optional Letters of Evaluation</b>
Adjunct Instructor	No	0
Adjunct Assistant Professor	No	3
Adjunct Associate Professor	No	3
Adjunct Professor	No	3
	No	3
<b>PROMOTIONS</b>		
<b>Tenure Track</b>		
<b>Change in Track</b>	<b>National Search Required</b>	<b>External Letters of Evaluation</b>
Assistant Professor to Associate Professor	No	5
Associate Professor to Professor	No	5
<b>Non-Tenure Track</b>		
<b>CHS / RS/ES</b>		
	<b>National Search Required</b>	<b>Letters of Evaluation</b>
Instructor to Assistant Professor	No	0

Assistant Professor to Associate Professor	<b>No</b>	<b>Minimum of 2 internal and 3 external</b>
Associate Professor to Professor	<b>No</b>	<b>5external</b>
<b>Medical Librarian</b>		
	<b>National Search Required</b>	<b>Letters of Evaluation</b>
Instructor Medical Librarian to Assistant Medical Librarian	<b>No</b>	<b>Minimum of 2 internal and 1 external letters**</b>
Assistant Medical Librarian to Associate Medical Librarian	<b>No</b>	<b>Minimum of 2 internal and 2 external letters**</b> <b>**</b>
Associate Medical Librarian to Medical Librarian	<b>No</b>	<b>Minimum of 2 internal and 3 external letters</b>
<b>Community-Based</b>		
	<b>National Search Required</b>	<b>External Letters of Evaluation</b>
Community-Based Instructor to Community-Based Assistant Professor	<b>No</b>	<b>0</b>
Community-Based Assistant Professor to Community-Based Associate Professor	<b>No</b>	<b>0</b>
Community-Based Associate Professor to Community-Based Professor	<b>No</b>	<b>0</b>