

**Revision of the Academic Personnel Policy**

Luanne E. Thorndyke, MD

*Vice Provost for Faculty Affairs***Revision of the APP: timeline & progress**

June 2015	Retreat on the APP
August 2015	Academic Advancement Work Group (AAWG) charged by Provost to make recommendations
July 1, 2016	AAWG Recommendations submitted to Provost → Provost asked Dr. Thorndyke to establish a writing group to draft the revised APP
Dec 2016	Distribute revised APP to faculty
Jan 2017	Campus discussions of revised APP
Feb 2, 2017	Faculty Town Hall to discuss revised APP
March 2017	Vote by Faculty and Executive Councils
Mar-Apr 2017	Vote by Faculty-at-Large
May 2017	Submit to Board of Trustees for approval
June 2017	Approval by Board of Trustees

**As currently planned, the revised APP will consist of the following Articles:**

1. Authority
2. Definitions
3. Standards
4. Academic Criteria
5. Appointment and Promotion
6. Tenure
7. Employed Faculty
8. Other Faculty Appointments

**Article 4. Academic Criteria defines the standards that apply to Appointment, Promotion & Tenure**

- Areas of Distinction
- Definition of Scholarship
- Educational Activities
- Academic Reputation and Service

Based on AAWG report;  
source documents previously presented to Faculty  
Council and posted for review by faculty

See: <http://www.umassmed.edu/ofa/academic/governance-policies/academic-personnel-policy/revision/>

**Article 5. Appointment and Promotion defines the procedures and criteria for each academic rank**

- Roles and Responsibilities in Personnel Actions
- Appointment to Departments and Other Units
- Appointment in Academic Tracks
- Procedure for Appointment
- Procedure for Promotion
- Criteria for Academic Ranks

**Work in  
Progress!**

**Article 6. Tenure defines the procedures and policies for the Award of Tenure**

- Criteria for Tenure \*
- The Tenure Track
- Procedure for the Award of Tenure
- Tenure Guarantees \*
- Appointment with Tenure \*
- Appointment with Term Tenure \*
- Periodic Multi-Year Review (PMYR)
- Reduction in Salary of Tenured Faculty \*
- Termination of Tenured Faculty

\* draft policies in handout on Tenure

**Article 7. Employed Faculty defines the terms and conditions for faculty employment**

- Employment and Appointment of Employed Faculty
- UMMS-Employed Faculty
- UMMHC-Employed Faculty
- Faculty Employed by an External Foundation or Agency
- Annual Performance Review
- Sabbatical
- Leave of Absence Without Pay
- Administrative Leave
- Emeritus Faculty

**Draft Policy  
available for  
review**

### Article 8. Other Faculty Appointments defines the terms and conditions for other faculty appointments

- Appointment to the UMMS-Faculty
- Professional Staff Faculty
- Affiliate Faculty
- Adjunct Faculty
- Visiting Faculty

Draft Policy  
available for  
review

### Possible issues for discussion today

#### Faculty Employment and Appointment

- Categories of employed and appointed faculty
- Terms and conditions for faculty employment and appointment
- Faculty termination and notice

#### Tenure

- “Up-or-out”
- Appointment with Tenure
- Appointment with Term Tenure

Feb 2, 2017: Faculty Town Hall to discuss the revised APP  
—we encourage prior discussion within departments

### The revised APP defines the terms & conditions for employment and appointment of UMMS faculty

The APP has the authority to define the terms and conditions of **appointment** for all UMMS faculty, regardless of employment status

But the APP has the authority to define terms and conditions of **employment** *only* for faculty **employed by UMMS**

Employment terms and conditions for faculty employed by UMMHC or an external foundation (e.g., HHMI) are defined by those organizations

see proposed policies in draft of Article 7

### Categories of employed and appointed faculty

#### Employed Faculty

UMMS-Employed Faculty	Academically-Salaried Faculty
	Professionally-Salaried Faculty

UMMHC-Employed Faculty

Faculty Employed by an External Foundation or Agency

#### Other Faculty Appointments

Professional Staff Faculty

Affiliate Faculty

Adjunct Faculty

Visiting Faculty

see proposed policies in drafts of Articles 7 & 8

### Employed Faculty are those employed by UMMS, UMMHC or an external foundation or agency

#### Employed Faculty:

- have a continuing appointment (not reappointed annually)
- are evaluated annually through the APR
- may be tenured or appointed to the tenure track
- are eligible for sabbatical leave (except Professionally-Salaried Faculty)
- are eligible for emeritus status

The faculty appointment of an Employed Faculty member is contingent on continued employment and ends coterminously with the termination of that employment.

see proposed policies in draft of Article 7

### The APP defines the employment terms and conditions only for UMMS-Employed Faculty

- Employment terms and conditions are defined by the letter of offer, by the APP, by HR policies, and by University policies, *considered in that order*
- Non-tenured faculty are “at will” employees
  - can be terminated “Not for Cause” with notice period, with option to buy out notice
  - can be terminated for “Cause” immediately
- Tenured faculty can be terminated only for “Cause”
- UMMHC-Employed Faculty and Faculty employed by an external foundation or agency are governed by the employment terms and conditions of UMMHC or the external foundation/agency

see proposed policies in draft of Article 7

## UMMS-Employed Faculty fall into two categories

### Academically-Salaried Faculty

- individuals who are hired into a faculty position to conduct Academic Activities as a primary responsibility, including, but not limited to, Tenured faculty, Tenure Track faculty, and Non-Tenure Track who are independently responsible for a research, educational or clinical area

### Professionally-Salaried Faculty

- individuals who are hired into a faculty position to provide support within a research, educational or clinical area, including, but not limited, to research investigators, scientists in core facilities, and individuals hired to provide services under a departmental or institutional contract with an external entity (such as a federal, state or private agency)

see proposed policies in draft of Article 7

## “Academic activities” — activities performed by faculty in one or more of the four core missions of UMMS \*

### Education Mission

Activities such as the provision of formal lectures, seminars, student conferences or one-on-one teaching of students at various levels, development of new curricula and/or development of educational policies.

### Research and Scholarly Activity Mission

Activities such as the performance of investigator-initiated or collaborative research; publication(s) in peer-reviewed journals; invited presentations; publication of reviews, books and book chapters; gathering of data; funded grants and contracts; and the submission of grants.

### Health Care Delivery Mission

Activities such as the delivery of high quality, state of the art health care in an appropriate setting, which is recognized as such by peers; expanding the horizons of clinical care by developing new diagnostic or therapeutic methods; establishing new clinical services.

### Service Mission

Service and administrative duties within UMMS, the University and/or the national/international community

\* defined in UMW Governance Document

## No change in the notice periods for termination of Academically- and Professionally-Salaried Faculty

### Academically-Salaried Faculty

- 3 months notice in first year
- 6 months for between 1 & 2 years service
- 12 months with >2 years service

### Professionally-Salaried Faculty

- 30 days notice
- 90 days notice is strongly encouraged

see proposed policies in draft of Article 7

## Why encourage a 90 day notice period for professionally-salaried faculty

- Postdocs have 90 days notice for termination
- These individuals are often long-serving and valuable
- Termination may have consequences for the visa status of international faculty
- Balance between business and human needs

## Faculty appointments may be granted to UMMS Professional Staff, Affiliate, Visiting and Adjunct Faculty

- Appointment is based on an individual's contributions to UMMS educational and research programs
- Streamlined processes proposed for appointment of Adjunct and Visiting Faculty
- Faculty are reappointed annually on recommendation of the chair
- The faculty appointment of an Affiliate Faculty member who is employed by an affiliated organization is contingent on continued employment by the affiliated organization and the affiliation agreement with that organization. In the event that either or both of these conditions are no longer in effect, the UMMS faculty appointment will end coterminously.

see proposed policies in draft of Article 8

## Other Faculty Appointments fall into four categories

### Professional Staff Faculty

- individuals employed by UMMS or UMMHC in a staff position
- includes professional staff and administrators, medical, nursing and other health professionals, fellows in non-ACGME fellowships and chief residents

### Affiliate Faculty

- individuals not employed by UMMS, UMMHC, or a foundation

### Adjunct Faculty

- individuals with an appointment at another academic institution

### Visiting Faculty

- individuals with an appointment at another academic institution who are participating in UMMS programs for a limited time

see proposed policies in draft of Article 8

### Modification of the “up or out” policy for faculty who do not receive tenure

#### Withdrawal from Candidacy

- A candidate in the Tenure Track may submit a written request to their chair at any time during their Tenure Decision Year to withdraw their candidacy for the Award of Tenure.
- If the chair approves, the candidate is notified in writing that their position in the Tenure Track will terminate one year from the date of withdrawal from candidacy.
- During this period the faculty member may request transfer into the Non-Tenure Track; such transfers require approval of the chair.

#### Denial of Tenure

- A candidate in the Tenure Track who is denied the Award of Tenure is notified in writing that their position in the Tenure Track will terminate one year from the date of notification of denial of tenure.
- During this period the faculty member may request transfer into the Non-Tenure Track; such transfers require approval of the chair.

[see handout on Tenure Policies](#)

### Modification of the policy for “Initial” Appointment with Tenure

- Individuals may be considered for Appointment with Tenure on recommendation by the chair (or dean in schools without departments) and approval through the procedures for Appointment and for the Award of Tenure.
- Usually Appointment with Tenure is limited to candidates who hold tenure at another institution but candidates in non-tenured positions, including UMMS faculty in the Non-Tenure Track, may also be considered for Appointment with Tenure.
- If the individual withdraws their candidacy, they may accept a position in the Non-Tenure Track or in the Tenure Track with a Probationary Period or resign their position. If the individual is denied Tenure, they may accept a position in the Non-Tenure Track or resign their position.

[see handout on Tenure Policies](#)

### Proposed option for Appointment with Term Tenure

Appointment with Term Tenure guarantees:

- Continuing employment in an academic position for a **defined period**, usually seven years, subject only to termination for “Cause”
- Academic freedom within the defined missions of UMMS
- Academic Salary

Candidates must meet the criteria for Award of Tenure and must be approved through the standard tenure process

For individuals who hold tenure at another institution or candidates in non-tenured positions, including UMMS faculty in the Non-Tenure Track.

Current tenured and tenure track faculty are NOT eligible

[see handout on Tenure Policies](#)

### The Academic Salary of a UMMS-Employed tenured faculty member may be reduced in two circumstances:

#### Unsatisfactory Performance

- If a UMMS-Employed tenured faculty member receives ratings of unsatisfactory performance in their APR for any two consecutive years or for any two years in a consecutive three year period, their salary is reduced to 90% of their Academic Salary in the following year.
- If that faculty member receives ratings of unsatisfactory performance for any three years in a consecutive four year period, their salary is reduced to 80% of their Academic Salary in the following year.
- If that faculty member receives ratings of unsatisfactory performance for any four years in a consecutive five year period, their salary is reduced to 70% of their Academic Salary in the following year.
- Salary is not reduced below 70% of a faculty member’s Academic Salary.
- If a faculty member who has received a salary reduction receives ratings of satisfactory performance in their APR for any two years in a consecutive three-year period, their salary is restored by 10% of their Academic Salary in the following year. Salary is restored annually in 10% increments with continuing ratings of satisfactory performance.

[see handout on Tenure Policies](#)

### The Academic Salary of a UMMS-Employed tenured faculty member may be reduced in two circumstances:

#### Failure to Provide Salary Support – 1

- A UMMS-Employed tenured faculty member is expected to provide a minimum of 50% of their Academic Salary from sources outside their department or non-department unit.
- The difference between the amount of salary provided by the faculty member and 50% of Academic Salary is defined as the “Gap in Funding”.
- If a tenured faculty member does not provide a minimum of 50% of their Academic Salary from sources outside their department for a period of three consecutive years, their salary is reduced annually in increments of 10% of their Academic Salary or by the Gap in Funding, whichever is less.
- If the faculty member continues to provide less than 50% of their Academic Salary, their salary is reduced annually in increments of 10%.
- Salary is not reduced below 70% of a faculty member’s Academic Salary or reduced by more the individual’s Gap in Funding, whichever is greater.

[see handout on Tenure Policies](#)

### The Academic Salary of a UMMS-Employed tenured faculty member may be reduced in two circumstances:

#### Failure to Provide Salary Support – 2

- If at any time a faculty member whose salary has been reduced decreases or eliminates the Gap in Funding from sources outside the department, their salary is immediately restored by the additional amount of salary provided by the faculty member.
- If that faculty member subsequently provides less than 50% of their Academic Salary at any time during the next three consecutive years, their salary is immediately reduced by the Gap in Funding but not below 70% of their Academic Salary.
- If that faculty member provides 50% of Academic Salary from sources outside the department for a period of three consecutive years, the process resets and any subsequent salary reduction only occurs if they do not provide a minimum of 50% of their Academic Salary for a period of three consecutive years.
- If a UMMS-Employed tenured faculty member who transfers employment from UMMS to UMMS does not provide a minimum of 50% of their Academic Salary from sources outside their department, their salary is immediately reduced by 30% of Academic Salary, or by their Gap in Funding, whichever is less. Salary is not reduced below 70% of a faculty member’s Academic Salary.

[see handout on Tenure Policies](#)