Revision of the Academic Personnel Policy
Luanne 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

Summary of Changes proposed in the revised APP

A single path for promotion: candidates select an area of distinction for review at each rank
- Clinical Medicine
- Education
- Investigation
- Population Health and Public Policy
  - the modified titles will be discontinued

All faculty are expected to engage in education
- educational activities are defined broadly

An inclusive definition of scholarship

Definition of terms and conditions for employment and appointment of faculty

Definition of faculty categories

Modification of policies for tenured faculty

Possible issues for discussion today

Education
- Definition of Educational Activities
- Area of Distinction in Education

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

Tenure Policies

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

Academic Advancement Work Group Membership

Chair: LuAnne Thorndyke, MD, Vice Provost for Faculty Affairs

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<th>Name</th>
<th>Position/Notes</th>
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<td>Relief, Adm. MD</td>
<td>Division Chair, Divisional Chair</td>
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<td>Relaff, Adv. MD</td>
<td>Vice Chair, Office of Academic Affairs</td>
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<tr>
<td>Ruch, Adm. MD</td>
<td>Executive Chair, Department of Pediatrics</td>
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<td>Ruch, Michael, M.D.</td>
<td>Department Chair, Molecular Medicine</td>
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Educational activities are defined very broadly: assessment of educational effectiveness will emphasize quality over quantity

Seven areas of educational activity:
- Educational Programs & Courses
- Research Education & Mentoring
- Clinical Education and Mentoring
- Educational Leadership & Administration
- Educational Development
- External Educational Activities

In each area the AAWG has defined examples and the methods for assessment of educational effectiveness

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_Vice Provost for Faculty Affairs_

**Education: Description, Examples and Assessment**

- **Distinct in Education—Activities**
  - The candidate should have a strong record of educational activities that demonstrate excellence in education and advance learning in the health sciences. The candidate must demonstrate effectiveness in their educational activities.
  - Examples of educational activities include:
    - Lectures, seminars, and small groups in the medical, graduate or nursing schools and/or in educational programs for postdocs, clinical residents and fellows, including interprofessional education
    - Leadership and service responsibilities in education, such as, course director or co-director, residency or fellowship program director or associate director, graduate program director, membership of educational committees
    - Formal advising and mentoring of graduate students, postdocs, residents or fellows in research, including service on thesis committees and membership in graduate programs
    - Clinical education, precepting and mentoring of students, residents, fellows and other healthcare professionals
    - Development, implementation and evaluation of innovative educational materials and resources, including online, curricula, web-based educational materials, educational technologies (e.g., simulation), and policies, statements and assessment tools
    - Mentoring of faculty in UMMS and departmental mentoring programs and external mentoring relationships
    - CMS programs, professional development and educational workshops, public and community education programs

**What’s changed and what’s unchanged?**

— _Education_

For faculty who devote a high proportion of their effort to _education_

**New area** for recognition of faculty accomplishments

Candidates for promotion in education

— must have a strong record of educational activities that demonstrate excellence

— should have a record of educational scholarship

— must demonstrate effectiveness in education

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**For each criterion in each area of distinction there is an extensive list of examples of activities**

**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

**Categories of employed and appointed faculty**

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<td>Faculty Employed by an External Foundation or Agency</td>
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**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 (except Professionally-Salaried Faculty)
- 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.
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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”
- UMHH-Employed Faculty and Faculty employed by an external foundation or agency are governed by the employment terms and conditions of UMHH or the external foundation/agency

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)

“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

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.
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

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.

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

All Employed Faculty are expected to support their salary through their activities in the UMMS missions

Non-Tenure Track (87% of employed faculty)  
• are “at will” employees: may be terminated with notice “Not for Cause” or immediately for “Cause”  
• expectation is to provide 100% of salary  

Tenured Faculty (9% of employed faculty)  
• can only be terminated for “Cause” after extensive review  
• are expected to provide 50% of their salary  

Tenure Track Faculty (4% of employed faculty)  
• are “at will” employees until they receive the Award of Tenure  
• salary expectations similar to Tenured faculty

The Privileges and Responsibilities of Tenure are defined in the current APP

Since tenure ensures continuous employment in an academic position with a provision of a sufficient level of economic security to make the profession attractive to men and women of ability, it carries with it an obligation for continuing high levels of performance in the areas of research/scholarly activity, teaching and service.

APP Section 11.A.b Privileges and Responsibilities of Tenure  
Statement in Italics is from the American Association of University Professors (AAUP) 1940 Statement of Principles on Academic Freedom and Tenure
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 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.

A rating of unsatisfactory performance is based on documented evidence of one or more of the following:
- Failure to meet agreed goals
- Repeated failure by the faculty member to respond to direction from the supervisor
- Failure to perform assigned duties or responsibilities
- Material violations of employer, department and/or other applicable policies, procedures, or codes of conduct

Continued unsatisfactory performance by a faculty member may result in actions that include but are not limited to reduction in effort, reduction in salary, and termination of employment or appointment.

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.

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 UMWHC Employed tenured faculty member who transfers employment from UMWH 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