# Revision of the Academic Personnel Policy: Highlights

University of Massachusetts Medical School

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# Major topics about the APP revision covered in this presentation include the following

- Introduction and overall process (slides 3–5)

- What's changed and what's unchanged? (slides 6–9)

- Appointment and Promotion (slides 10–28)

- Changes in Tenure (slides 29–36)

# The APP revision process has involved *multiple opportunities* for input, discussion and feedback

- Kick off Retreat: June 2015
- AAWG work: August 2015 – April 2017
- Release of 1st draft: February 2017
- Faculty 'town hall' Meeting:  March 2017
- Ongoing discussions and input throughout
  - Faculty Council
  - Executive Council
  - Chair's Council
  - Tenure Committee/PAC/EPC
  - Many departmental meetings

# We are moving into the final phase. Next Steps . . .

- Review the "final draft", discuss, send any comments or questions to *Faculty.Affairs@umassmed.edu*

- Open comment period closes **August 23**

- Vote by Faculty Council, Executive Council and the Faculty-at-Large will occur in **September**

- Final Provost review, Chancellor review in October

- Submit to for President's Office, CASA and Board of Trustees review in October

- Vote by Board of Trustees in December

- Begin implementation process January 2018

# Why revise the APP?  Because the current APP . . .

--does not equitably recognize academic work in all missions, particularly in **health care delivery**

— clinical faculty dislike **modified titles** (Clinical Associate Professor)

— clinical faculty are reluctant to pursue promotion

The current APP also:

- has **gaps** in procedures and policies

- is **not easy to follow**

- is **outmoded** —not consistent with current practice

*The goal is to craft a document that meets the needs of UMMS and UMMHC/UMMMG and recognizes the accomplishments of all faculty*

# What will _change_ in the revised APP?

- A single path for promotion, with 4 Areas of Distinction
  - Clinical and Research modified titles will be discontinued
  - Affiliate and Lecturer ranks will be discontinued
  - Voluntary faculty will be categorized as Affiliate faculty

- Education is required for promotion
  - Educational activities are defined with seven components, and will include mentoring activities

- Scholarship is required for promotion
  - Scholarship is defined with three elements, and will include clinical scholarship and team science

- Executive Council will no longer approve personnel actions

- Modification of some policies for tenured faculty

- Definition of "just cause" for termination

# What will *not change* in the revised APP?

- The review processes for appointment, promotion and award of tenure

- The materials required for appointment, promotion and award of tenure (CV, optional narrative statement, letters)

- Standards and criteria for appointment and promotion

- Criteria for the award of tenure and guarantees for tenured faculty

# What's been added to the revised APP?

- Definition of terms & conditions for employment and appointment

- Definition of faculty categories (employed and affiliate)

- Procedure for Annual Performance Review (APR)

- Term Tenure (award of tenure for a 7 year term)

- Confidentiality as a standard for academic review

# What does the revised APP mean for clinical faculty and UMMHC/UMMMG?

Clinical faculty engaged in "academic" work — scholarship, research, education, safety & quality — improve the quality of patient care and the reputation of UMass Memorial

The APP provides recognition and incentive for clinical faculty to demonstrate excellence through improving patient safety and quality, developing protocols and guidelines, and enhancing coordination of care

*— projects that also benefit UMMHC/UMMMG*

# Appointment and Promotion

# To recognize the accomplishments of all faculty, the APP defines four Areas of Distinction

Areas of Distinction provide a focus for faculty academic activities and accomplishments

- Health Care Delivery

- Education

- Investigation

- Population Health & Public Policy

*These Areas are also a focus of institutional excellence for UMMS and UMMHC/UMMMG*

*See revised APP Section 2.2 (p 6)*

# Four paths for appointment and promotion
## — *each corresponds to an Area of Distinction*



Professor

Associate Professor

Assistant Professor

Instructor

Health Care Delivery

Education

Investigation

Population Health & Public Policy
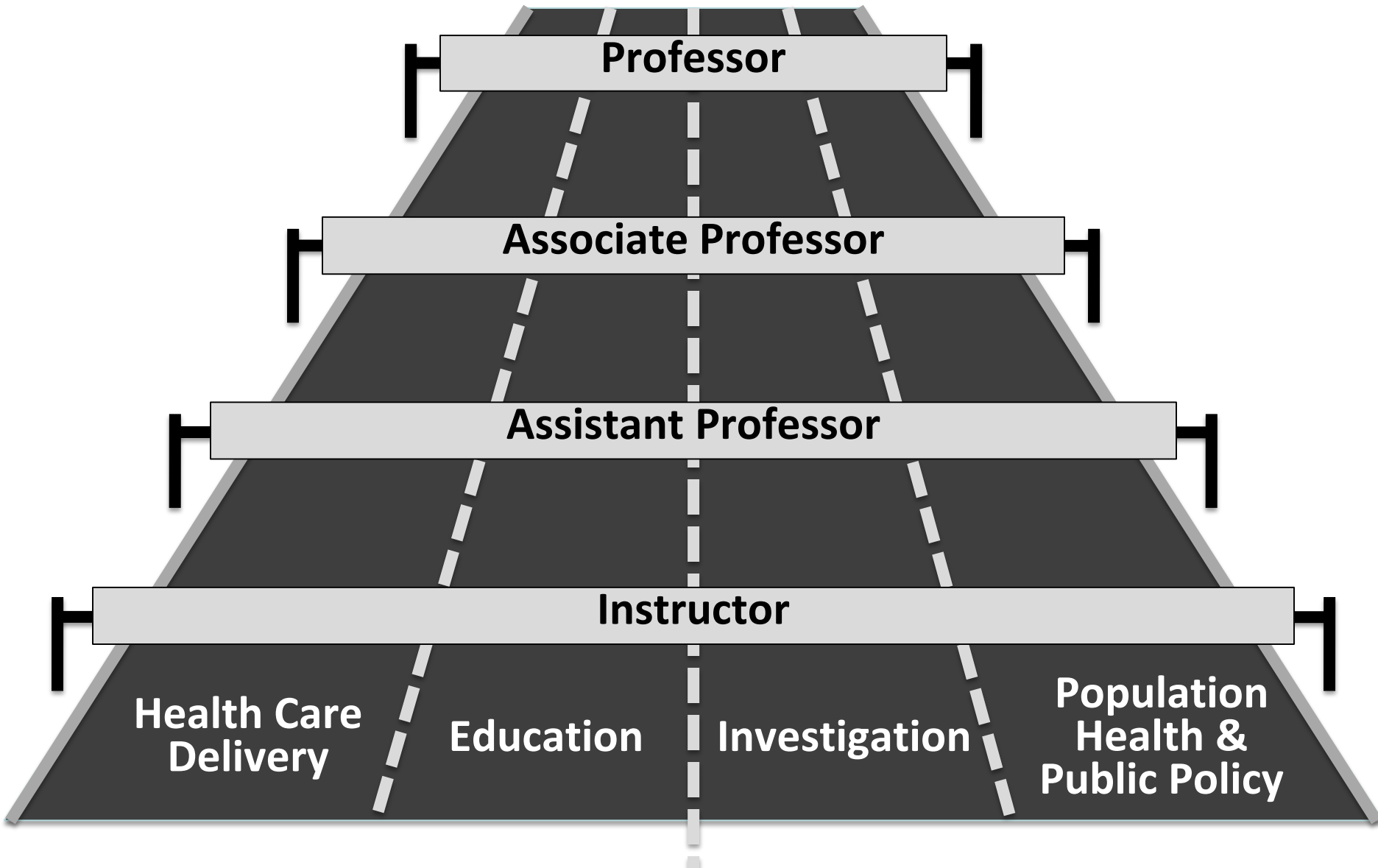
# Candidates for appointment and promotion will typically be evaluated in three areas

- **Area of Distinction**
  which includes scholarship

- **Education**
  which includes mentoring

- **Academic Service**

Currently, candidates are evaluated in three areas

- Research & Scholarly Activity
- Education
- Professional & Academic Service

*Modified titles will be eliminated in the revised APP*

# The revised APP defines Scholarship with three essential components:

**Advancement of Knowledge:** Scholarship advances research, education or practice through discovery, integration, application or transmission of knowledge.

**Dissemination:** Scholarship must be in a form that is disseminated and evaluated, allowing critical review.

**Impact:** Scholarship has a measurable impact at the local, regional, national or international level on a discipline, practice or community.

Candidates are evaluated for their scholarship by the quality and quantity of a body of scholarly work, and the depth and breadth of impact of the scholarship. A record of scholarship may include the scholarship of multidisciplinary and interdisciplinary teams.

*Scholarship is required for each Area of Distinction*

*See revised APP Section 2.3 (p 6)*

# Scholarly works may include . . .

- peer-reviewed publications

- books, book chapters and reviews

- Preprints and other interim research products

- innovative educational materials

- peer-reviewed meeting abstracts and presentations

- patents, new therapies and technologies

- evidence-based products such as
  policy statements, safety and quality studies,
  innovations in patient care, and clinical guidelines

# Educational activities are defined broadly and also include mentoring

*Seven areas of educational activity:*

- Educational Programs & Courses

- Research Education & Mentoring

- Clinical Education and Mentoring

- Educational Leadership & Administration

- Educational Development

- External Educational Activities

*Assessment of educational effectiveness will emphasize quality over quantity*

*See revised APP Section 2.4 (p 7)*

# Consistent with current policy, academic achievement is assessed at one of three levels

**Senior** level:
required for Professor

**Established** level:
required for
Associate Professor

**Entry** level:
required for
Assistant Professor
& Instructor
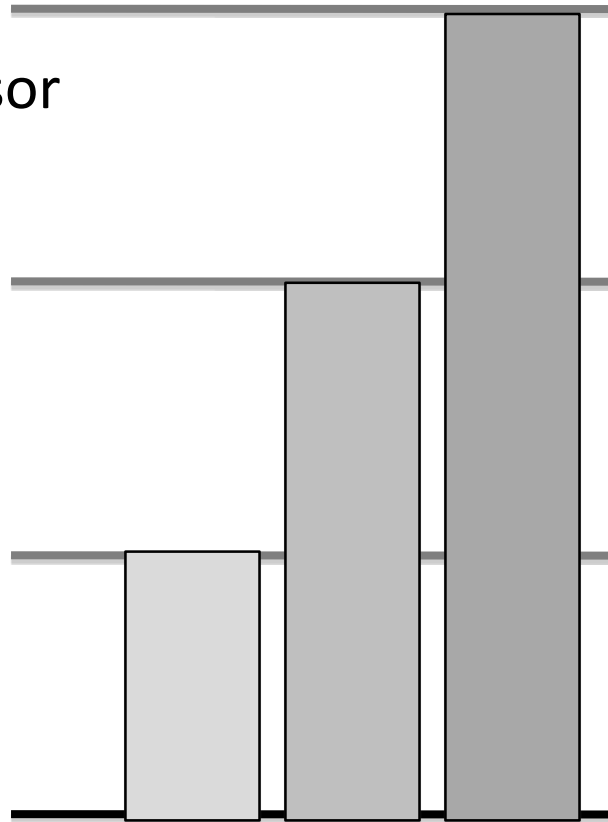
Revised APP contains tables of examples of achievement at each level

*See revised APP Tables 1–5 (pp 11–15)*

# The revised APP lists examples of achievements at each of the three levels for each area of distinction

**Established Level in Health Care Delivery**

Excellence in a clinical specialty with *local/regional impact*, demonstrated by:

- Major responsibility for and/or leadership of a clinical program and/or quality initiative
- A unique clinical program, diagnostic test, and/or intervention with documented outcomes
- Innovative approaches that improve safety, quality, and/or efficacy of healthcare delivery
- A defined role and/or leadership in team or multi-center projects in health care delivery

A record of scholarship that may include:

- Peer-reviewed publications, usually as first and senior author, case reports, book chapters, and/or reviews
- Safety and quality studies, standards of care, policies, models of care coordination, guidelines, protocols for patient treatment or delivery of care

*Local/regional* recognition for clinical expertise and/or health care delivery, demonstrated by

- Clinical consulting and referrals
- Invited presentations and presentations at professional meetings

# The revised APP lists examples of achievements at each of the three levels for each area of distinction

**Established Level in Education**

- Excellence in education with *local/regional* impact, demonstrated by:
- Educational effectiveness (evaluated as defined in Section 2.4.b)
- Mentoring of students, trainees, and/or faculty
- Leadership and service activities in education
- Innovative courses, curricula, or other educational programs, materials, and resources
- Defined role and/or leadership in educational research

A record of scholarship that may include:

- Peer-reviewed publications, usually as first and senior author, book chapters, and/or reviews, including publication of multidisciplinary studies as an author or a named member of an authorship group
- Educational materials published in print or other media such as syllabi, curricula, web-based training modules or courses, technologies (e.g., simulation), educational methods, policy statements, and/or assessment tools

*Local/regional* recognition for education, demonstrated by

- Honors and awards for education
- Invited presentations and presentations at professional meetings

# The revised APP lists examples of achievements at each of the three levels for each area of distinction

## Established Level in Investigation

Excellence in one or more areas of investigation, demonstrated by:

- Funding for research primarily as a principal investigator on external and internal grants but may be a major contributor to funded team projects
- Innovative methods, technologies or therapies, and/or novel applications of existing methods and technologies
- Leadership of or major responsibility for research projects or a research core service
- Defined role and/or leadership in team or multi-center research projects or programs

A record of scholarship that may include:

- Peer-reviewed publications, usually as first and/or senior author, of original research and/or novel methods/technologies that advance the field, including publication of multidisciplinary studies as an author or a named member of an authorship group

*Regional/national* recognition for investigation, demonstrated by:

- Honors and awards for investigation
- Invited presentations and presentations at professional meetings

# The revised APP lists examples of achievements at each of the three levels for each area of distinction

**Established Level in Population Health & Public Policy**

Excellence in population health and public policy with *local/regional* impact, demonstrated by:

- Development, analysis, implementation, and/or evaluation of one or more of the following:
  - programs that enhance community or population health
  - health or health care policy,
  - technology and analysis tools for community and population health,
  - initiatives in specific systems, such as the legal and criminal justice system
- Leadership of, or major responsibility for, projects and programs in population health and public policy

A record of scholarship that may include:

- Policy statements, white papers, legislative and/or legal advances with *regional* impact

*Local/regional* recognition for population health and public policy demonstrated by:

- Honors and awards for population health and public policy
- Invited presentations and presentations at professional meetings

# The revised APP also lists examples of achievements at each of the three levels for Academic Service

**Table 5. Academic...**

**Entry Level**

A record of academic...
- Participation in p...
- Peer reviewer for...
- Service on com...
- Advisor and...

**Established...**

A subst...
- L...
- L...
- Servic...
- Invitation...
- Membership, I...
- Peer reviewer and...
- Substantial contri...
  UMMS and/or Un...
- Substantial admin...
- Spokesperson for...
  expertise, featur...

**Senior Level**

A sustained, substa...
demonstrated by:
- Leadership positi...
- Leadership and/o...
- Service on commi...
- Invitations to con...
- Regular members...
- Editor and/or me...
- Leadership positi...
  groups of the Sch...
- Leadership positi...
  School, and/or UI...
- Spokesperson for...
  expertise, featur...

## Established Level in Academic Service

A substantial record of academic service and related activities at the *local/regional* level, demonstrated by:

- Leadership positions, committee membership, and other service activities in professional organizations
- Leadership and/or service in the organization of a professional meeting
- Service on committees evaluating programs and/or developing guidelines and policies in area of expertise
- Invitations to consult, review, or assess programs in other institutions and organizations
- Membership, including *ad hoc* membership, of a grant review panel or equivalent committee
- Peer reviewer and/or membership on editorial boards for journals
- Substantial contributions to faculty governance and/or task forces, committees, and/or other groups of the School, UMMS and/or University of Massachusetts
- Substantial administrative responsibilities for the Department, Non-Department Unit, School, and/or UMMS
- Spokesperson for the School, UMMS, University of Massachusetts, and/or professional organization on areas of expertise, featured *locally/regionally*

# Appointment to *Instructor* requires Entry level in the Area of Distinction

**Entry level** in an Area of Distinction
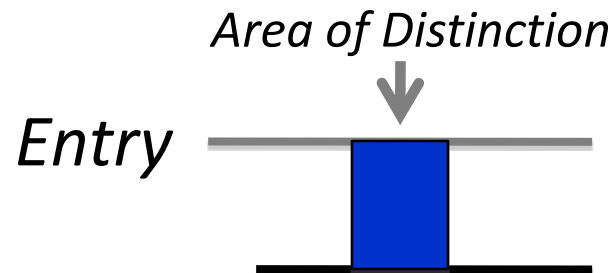


Eligibility for Instructor:

- clinicians with < 10% effort devoted to UMMS programs
- chief residents & fellows not in ACGME programs
- researchers transitioning to independence

*See revised APP Section 3.6 (p 16)*

# Appointment or Promotion to *Assistant Professor* requires Entry level in the Area of Distinction plus...

**Entry level** in an Area of Distinction

**Entry level** in one other area of evaluation

*Area of Distinction*
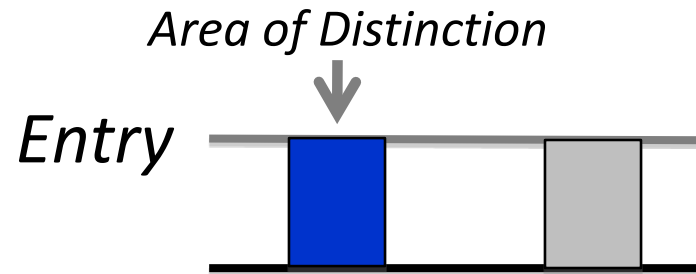
*Entry*

- Most usual entry-level position for faculty
- Criteria same for Tenure and Non-Tenure Track Faculty

*Compare to current APP:* **Entry level** achievement in ***one or more*** of the three areas of evaluation

(research & scholarly activity, education, or professional & academic service)

*See revised APP Section 3.7 (p 16)*

# Appointment or Promotion to *Associate Professor* requires Established level in the Area of Distinction

**Non-Tenure Track**

- **Established** level in the **Area of Distinction**
- **Entry** level in **two** other areas of evaluation
- At least Entry level in Education
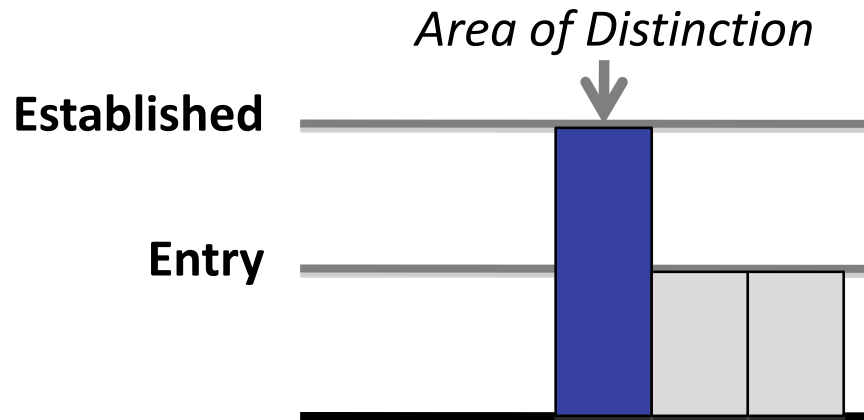


See revised APP Section 3.8 (p 16)

# Current criteria for *Associate Professor* for faculty on the tenure track are maintained in revised APP

## Tenure Track

- **Established** level in the **Area of Distinction**
- **Established** level in a second area
- **Entry** level in a third area
- At least Entry level in Education
- National recognition for scholarship
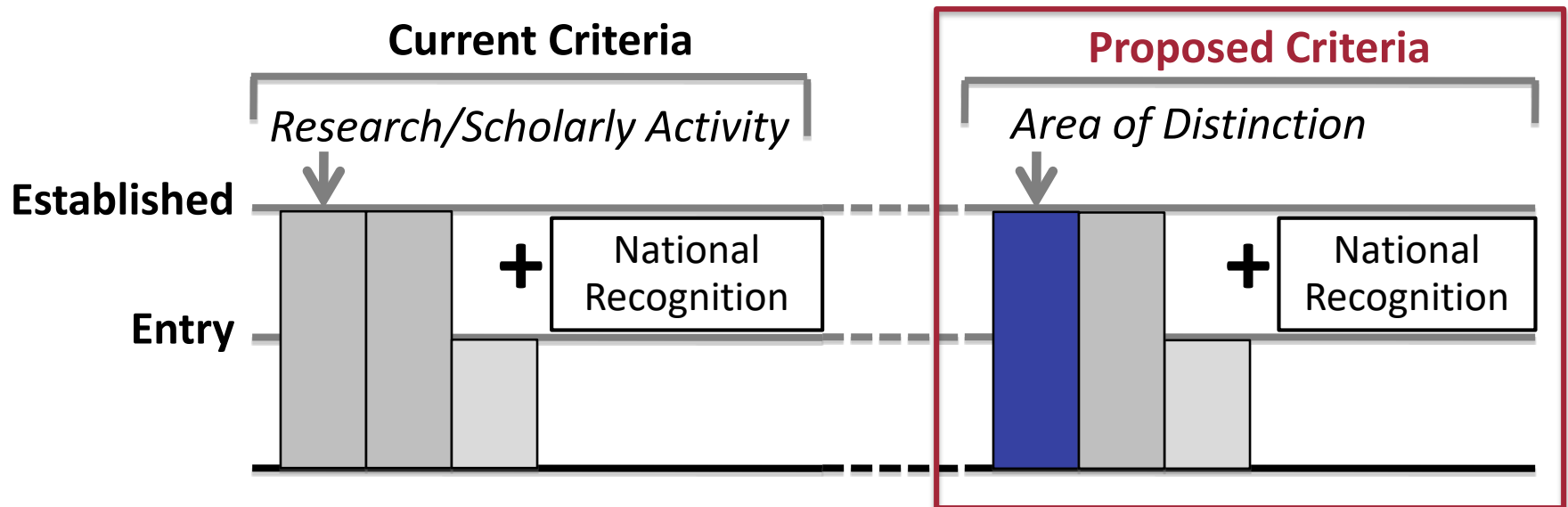
# Appointment or Promotion to *Professor* requires senior level in the Area of Distinction

**Non-Tenure Track**

- **Senior** level in the **Area of Distinction**
- **Established** level in **one** other area of evaluation
- **Entry** level in **one** other area
- At least Entry level in Education

*Area of Distinction*

Senior

Established

Entry
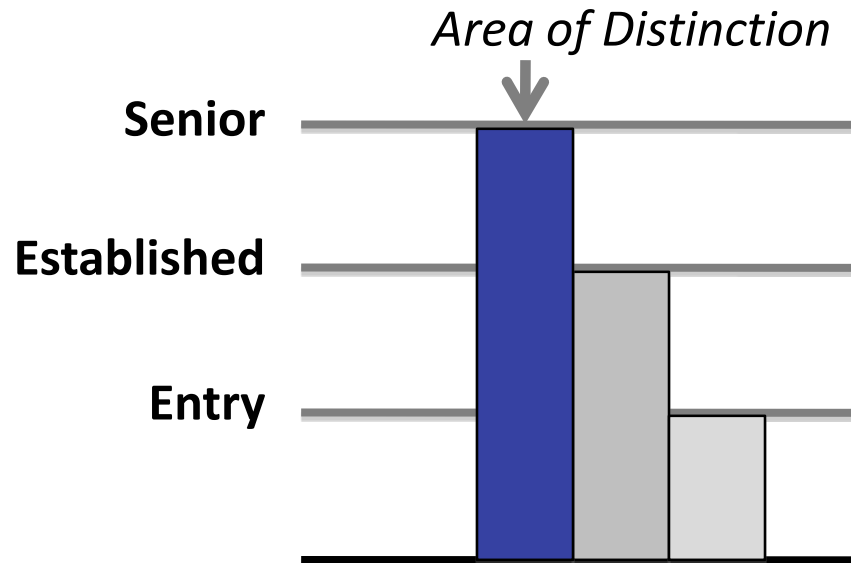
See revised APP Section 3.9 (p 17)

# Current criteria for *Professor* for tenure track or tenured faculty are maintained in revised APP

## Tenure Track and Tenured

- **Senior** level in the **Area of Distinction**
- **Senior** level in **one** other area of evaluation
- **Established** level in **one** other area
- At least Entry level in Education
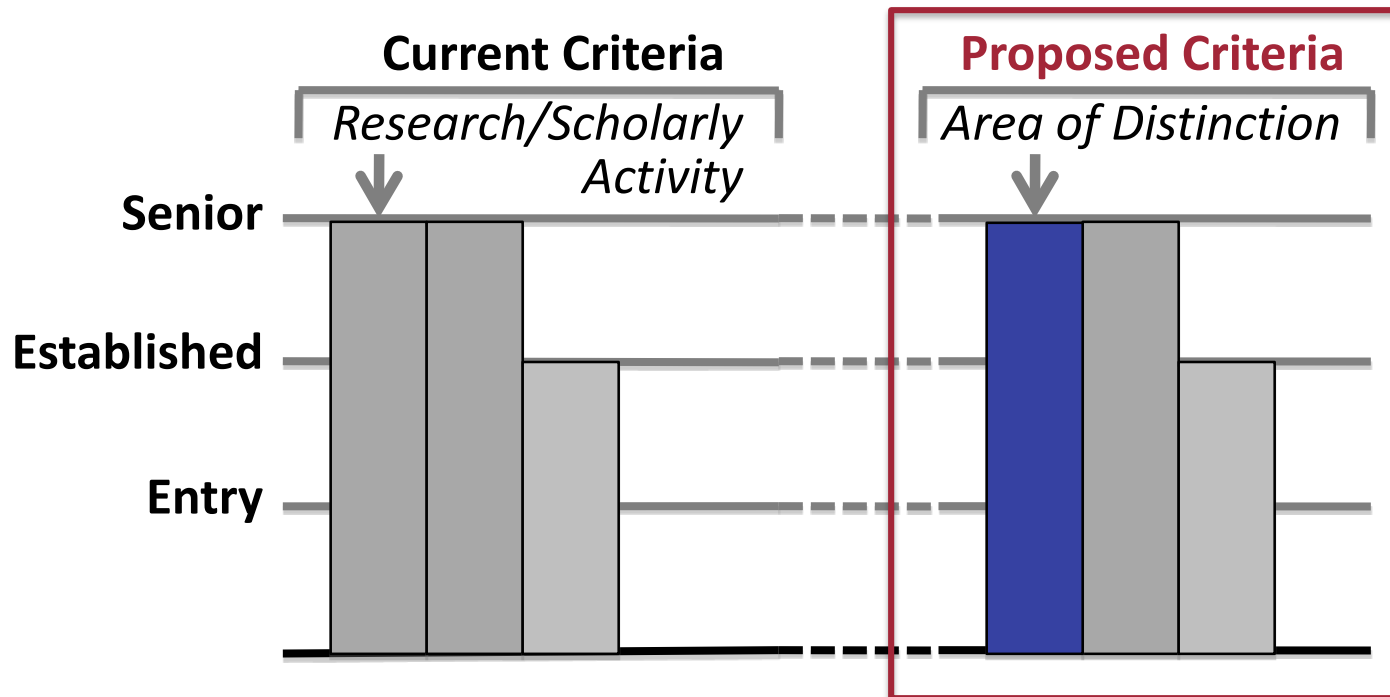
# Tenure

- Criteria and Guarantees of Tenure (slides 30–32)

- Modifications to Tenure Policy (slide 33)

- "Up-or-Out" Policy (slide 34)

- Reduction in Salary (slide 35)

- Definition of "Cause" (slide 36)

# Criteria and guarantees of tenure are not changed in the revised APP

- The criteria for the award of tenure are not changed except to expand eligibility to any Area of Distinction

- The guarantees of tenure are not changed

- Policies and procedures for the probationary period are not changed

- Procedures for the award of tenure are clarified

# The Guarantees of Tenure are not changed

- Continuing employment as an Academically-Salaried UMMS Faculty Member, subject only to termination for "Cause"

- Academic freedom within the defined missions of UMMS.

- An "Academic Salary", based on full time employment, defined as follows:

  For a UMMS-Employed tenured Faculty Member, Academic Salary is the individual's annual base salary, which is defined as their total annual salary less any other additional compensation.

  For a UMMHC-Employed tenured Faculty Member, Academic Salary is defined as the average annual base salary of all tenured UMMS-Employed basic science faculty at the same rank, or the individual's total annual base salary, whichever is lower.

*See revised APP Section 4.3 (p 24)*

# Criteria for tenure have been modified only to expand eligibility to any Area of Distinction

Tenure is awarded by the University to individuals who on review of their Tenure Dossier (Section 4.4) are judged to meet each of the following criteria:

- Convincing evidence of and potential for continuing excellence in scholarly activity in <u>one or more Areas of Distinction</u> and excellence in either Education or Service with a minimum of strength in the other, such as to demonstrate the possession of qualities appropriate to a member of the Faculty occupying a permanent position.

- Compelling assurance of continuing development and achievement leading to considerable further contributions to UMMS, the University and the profession.

*See revised APP Section 4.2 (p 24)*

# Some tenure policies and procedures are modified in the revised APP

- "Up-or-out" policy

- Periodic Multi-Year Review (PMYR) is stream-lined, while retaining the same purpose of providing a longer term review of goals and performance

- The procedure for termination of tenured faculty is modified, but the principles of extensive review by both faculty and administration are retained

- The procedure to reduce salary of tenured faculty is modified to include reduction for not meeting agreed salary goals

- The maximum reduction remains 75% of Academic Salary (as in the current APP)

- Addition of Appointment with Term Tenure

# 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 the chair at any time during their Tenure Decision Year to withdraw their candidacy for the award of Tenure. If the chair approves the request, they notify the candidate in writing that their position in the Tenure Track will terminate one year from the date of withdrawal from candidacy.

**Transfer into the Non-Tenure Track.** A Faculty Member who has withdrawn from candidacy for Tenure or who has been denied the award of Tenure may request transfer into the Non-Tenure Track (Section 4.5.f) during the one-year period of notice of termination of their position in the Tenure Track. Such transfers require approval of the chair, dean and Provost (as applicable).

*See revised APP Section 4.8.j and 4.8.k (p 31)*

# The Academic Salary of a tenured faculty member may be reduced for repeated unsatisfactory ratings

**Reduction in Salary.** If a Tenured Faculty Member receives ratings of unsatisfactory in their APR for any **three** consecutive years or for any **three** years in a consecutive **four** year period, their salary may be reduced in the following year to an amount that is 95% of their current Academic Salary. The chair, GSN Dean or director of a Non-Department Unit (as applicable) provides written notification to the Faculty Member of the amount of the salary reduction and the effective date of the reduction.

If the Faculty Member continues to receive ratings of unsatisfactory in their APR in subsequent consecutive years, their salary may be reduced further in two annual steps to amounts that are 85% and 75%, respectively, of their Academic Salary prior to any reductions. Salaries cannot be reduced below 75% of Academic Salary.

**Restoration of Salary.** If a Faculty Member whose salary reduction has been reduced receives a rating of satisfactory in their APR, their salary is restored to at least its original level. A Faculty Member whose salary is restored is eligible to receive any general (non-merit) salary increases that occurred during the period of salary reduction.

*See revised APP Section 4.13 (p 33)*

# The definition of _Cause_ for termination is more specific

The definition of "Cause" includes, but is not limited, to the following:

a. fraud or misrepresentation of professional preparation, accomplishments or experience;

b. fraud, embezzlement, misappropriation of assets or other dishonesty with respect to UMMS or those associated with it;

c. conviction of a felony or any offense that would adversely affect the individual's ability to serve as a Faculty Member, as determined by UMMS in its sole discretion;

d. repeated insubordination, material negligence, neglect, or misconduct in the performance of duties, including a failure or refusal to perform duties assigned by the chair, GSN Dean or director of a Non-Department Unit (as applicable), following notice of same from UMMS, as determined by UMMS in its sole discretion;

e. prolonged or frequent absence from duty without the consent of the chair, GSN Dean or director of a Non-Department Unit (as applicable), and not pursuant to the Family Medical Leave Act, following notice of same from UMMS; or

f. repeated violation of a published policy of the University of Massachusetts or UMMS, following notice of same from UMMS, that is material to the individual's duties under their appointment.

_See revised APP Section 41.9 (p 5)_