

PROCEDURES FOR REVIEW AND PROMOTION OF CLINICAL FACULTY AT BAYLOR UNIVERSITY

I. Scope

These procedures describe the process for review and promotion of Clinical Faculty. The University Policy governing these faculty members is BU-PP 719, Policy on Clinical Faculty at Baylor University.

II. Notification

Each year, by September 25, the Office of the Provost will send a notification of each Clinical Instructor's and Clinical Assistant Professor's current year of consecutive, full-time service to the faculty member and his or her department chair and Dean.

III. Clinical Instructor Review

Each Clinical Instructor in the second year of service will undergo the department's Peer Review of Teaching Process. If the Clinical Instructor continues for a third year, as a Clinical Assistant Professor, the results of the Peer Review will be incorporated into the Third-Year Review described in Section IV.A. If the Clinical Instructor is promoted to the rank of Clinical Assistant Professor, he or she will receive a salary increase for the year following the year in which the decision was made (or, if budgetary constraints make such an increase impracticable for that year, he or she will receive a letter stating that the increase will be provided in the next budget period in which funds are available).

IV. Clinical Assistant Professor Review

A. Each Clinical Assistant Professor will undergo the department's Peer Review of Teaching Process in the second and fourth year of service (including any years served as Clinical Instructor). The results of the Peer Reviews will be incorporated into the comprehensive Third-Year Review (described in Section IV.B.1) and any consideration for promotion to the rank of Clinical Associate Professor (described in Section V.A.2).

B. Each Clinical Assistant Professor in the third year of service will undergo a departmental review of all areas of responsibility according to the following process:

1. The department chairperson is to prepare with the available tenured departmental faculty and any departmental Clinical Associate Professors and Clinical Professors (or a committee thereof, as determined by the department chairperson in consultation with these faculty members) a summary evaluation of the Clinical Assistant Professor's teaching. The summary

teaching evaluation will draw on information from any reflective summaries of teaching that the Clinical Assistant Professor has prepared prior to the point of preparing the evaluation (as described in Section V.A.3.e), peer review reports, and student evaluation forms, in order to evaluate the Clinical Assistant Professor's work in the classroom and in student mentoring as well as any additional contributions to curriculum and instruction in the academic unit. This summary teaching evaluation should chronicle the Clinical Assistant Professor's efforts at improvement in teaching and should help the Clinical Assistant Professor in continuous improvement; it should be provided to the Clinical Assistant Professor by December 15 for these purposes and for inclusion in the notebook that will be used for the departmental review.

Note: In a school or college that acts as a single department for the purpose of performing these reviews, the duties described throughout this process as being done by the department chairperson will be done by the Dean or a faculty member designated by the Dean for this role.

2. Each Clinical Assistant Professor is to maintain a notebook as described in the context of the Clinical Associate Professor review process (see Section V.A.3). He or she is to make this notebook available for review by available tenured faculty, Clinical Associate Professors, and Clinical Professors within the department by January 15.
3. The available tenured faculty, Clinical Associate Professors, and Clinical Professors within the department are to review the Clinical Assistant Professor's notebook before the meeting with the Clinical Assistant Professor (described in IV.B.5).
4. The department chairperson is to provide colleague evaluation forms to the available tenured faculty, Clinical Associate Professors, and Clinical Professors, and to schedule a review meeting with the Clinical Assistant Professor and the available tenured faculty, Clinical Associate Professors, and Clinical Professors and dean or dean's representative. The chair should provide the forms and schedule the meeting by January 15 (the meeting itself, described in Section IV.B.5, should take place by February 15).
5. The Clinical Assistant Professor, available tenured faculty, Clinical Associate Professors, and Clinical Professors, and department chairperson and dean or dean's representative will meet to discuss and review the Clinical Assistant Professor's progress and performance. This review should address all pertinent topics of interest to the participants (and departments may make a practice of submitting such topics to the department chair in advance if thoroughness is thus facilitated). If there have been any changes in expectations or conditions of the Clinical Assistant Professor's employment, the department chairperson is to ensure that these are clearly communicated in writing to all participants in this meeting. This meeting will be evaluative in

the sense that it will result in a recommendation to retain or release the Clinical Assistant Professor, but in most cases it should provide a significant opportunity for constructive conversation about the Clinical Assistant Professor's work, acknowledging and encouraging its positive aspects and providing suggestions for improvement. This meeting will take place by February 15.

6. Following this meeting, the available tenured faculty, Clinical Associate Professors, and Clinical Professors are to complete and sign the colleague evaluation forms on the Clinical Assistant Professor and submit them to the department chairperson. This shall be done by February 25. Each tenured faculty member, Clinical Associate Professor, and Clinical Professor should include on the form, along with other comments, an indication recommending that the Clinical Assistant Professor be (a) Continued or (b) Not Continued as a Clinical Assistant Professor, or an indication that the faculty member is abstaining for a specific compelling reason. The department chairperson shall maintain the confidentiality of the evaluation forms, which shall not be available for review by the Clinical Assistant Professor. In addition to the chairperson, only the President, Provost, and Dean will have access to the evaluation forms.
7. After receiving the colleague evaluation forms, the department chairperson is to prepare a summary report of the observations made in the review meeting and in the colleague evaluations by the tenured faculty, Clinical Associate Professors, and Clinical Professors, including a report of the Continue/Not Continue/Abstain vote, for submission to the Dean. Before submitting this report to the Dean, the department chairperson is to make this report available for inspection by the available tenured faculty, Clinical Associate Professors, and Clinical Professors and to the Clinical Assistant Professor who is being reviewed, either by reading it to them or by allowing them to read it in a secure location such as the departmental office. This summary report shall not be duplicated or distributed via email. The summary shall be submitted to the Dean by March 5.

If any of the available tenured faculty, Clinical Associate Professors, or Clinical Professors believes that his or her opinions were not adequately expressed in the chairperson's report, he or she may submit an independent letter expressing his or her opinion to the chairperson. Similarly, if the Clinical Assistant Professor desires to dissent from any of the points made in the report, he or she may submit an independent letter presenting his or her opinion with respect to this point or these points. Any such letter submitted by tenured faculty, Clinical Associate Professors, Clinical Professors, or the Clinical Assistant Professor should be attached to the chair's letter and sent forward with it to the Dean.

8. If, in the opinion of the Dean as a result of this review, the Clinical Assistant Professor should be continued in his or her appointment at Baylor, the Dean should indicate this on the summary report and forward it to the Provost by March 20.
9. If, in the opinion of the Dean as a result of this review, the Clinical Assistant Professor should *not* be continued in his or her appointment at Baylor, the Dean should recommend to the Provost in writing that the appointment be terminated. Such a recommendation should be submitted to the Provost by March 20.
10. No later than March 30, the Provost will notify the Dean in writing of the decision to continue or terminate the Clinical Assistant Professor's appointment. The Dean will then notify the Clinical Assistant Professor of the decision in writing no later than April 15.
11. In the event of a decision to terminate the Clinical Assistant Professor's appointment in the third year of the Clinical Assistant Professor's appointment, a terminal contract will be issued for the following year.

V. Review for Promotion to the Rank of Clinical Associate Professor

A. A Clinical Assistant Professor who seeks to continue as a clinical faculty member at Baylor for more than seven consecutive, full-time years by applying for the rank of Clinical Associate Professor will do so according to the following process:

1. By September 30 of the sixth year, the Clinical Assistant Professor's department chair will inform the Clinical Assistant Professor that application for the rank of Clinical Associate Professor must be made, and will inform the Clinical Assistant Professor of any materials that must be submitted for this process besides the notebook (see Section V.A.3.f).

Note: In a school or college that acts as a single department for the purpose of performing these reviews, the duties described throughout this process as being done by the department chairperson will be done by the Dean or a faculty member designated by the Dean for this role.

2. The department chairperson is to prepare with the available tenured departmental faculty and any departmental Clinical Associate Professors and Clinical Professors (or a committee thereof, as determined by the department chairperson in consultation with these faculty members) a summary evaluation of the Clinical Assistant Professor's teaching. The summary teaching evaluation will draw on information from the Clinical Assistant Professor's reflective summaries of teaching prior to the point of preparing the evaluation, peer review reports, and student evaluation forms, in order to evaluate the Clinical Assistant Professor's work in the classroom and in

mentoring as well as any additional contributions to curriculum and instruction in the academic unit. This summary teaching evaluation should be provided to the Clinical Assistant Professor by October 15 for inclusion in the notebook that will be used for the departmental review.

3. By October 31, the Clinical Assistant Professor will submit to the department chair a notebook containing:
 - a. A one-to-two-page letter applying for the position of Clinical Associate Professor; for the third-year review, this should be a one-to-two-page letter summarizing the data that supports the Clinical Assistant Professor's continuation as a Clinical Assistant Professor;
 - b. A curriculum vitae that lists the Clinical Assistant Professor's educational background, relevant employment history, and professional achievements, including each course and section taught at Baylor and any other professional, service, and research activities, along with any other information the Clinical Assistant Professor deems pertinent;
 - c. Documentation of the assignment of any administrative, professional, and/or research duties as part of the workload for any portion of the Clinical Assistant Professor's service at Baylor;
 - d. Student evaluations for each semester taught as a full-time Clinical Assistant Professor or Clinical Instructor;
 - e. The Clinical Assistant Professor's assessment of his or her teaching effectiveness in view of the other documentation available (e.g., student evaluations, Peer Teaching Review reports, and third-year review); for the third-year review, the Clinical Assistant Professor should provide a reflective summary of his or her teaching and plans for improvement (for example, attending pedagogy workshops or observing the teaching of experienced colleagues), including available documentation;
 - f. Any other materials the Clinical Assistant Professor and/or the department chair (or Dean in schools in which the Dean acts as chair) deem appropriate (these may include a teaching portfolio, in units that use such a document, as well as materials relating to professional engagement, service contributed to the department, and any reflective summaries of assigned or unassigned administration or research); and
 - g. The summary teaching evaluations that have been provided by the department chair for the third-year review as well as for the Clinical Associate Professor decision.
4. The available tenured faculty, Clinical Associate Professors, and Clinical Professors within the department are to review the Clinical Assistant Professor's notebook during November.
5. The department chairperson is to provide colleague evaluation forms to the available tenured faculty, Clinical Associate Professors, and Clinical Professors, and to schedule a review meeting with the Clinical Assistant

Professor and the available tenured faculty, Clinical Associate Professors, and Clinical Professors. The chair should provide the forms and schedule the meeting by October 31 (the meeting itself, described in Section V.A.6, should take place by November 30).

6. The Clinical Assistant Professor, available tenured faculty, Clinical Associate Professors, and Clinical Professors, and department chairperson will meet to discuss and review the Clinical Assistant Professor's progress and performance. This review should address all pertinent topics of interest to the participants (and departments may make a practice of submitting such topics to the department chair in advance if thoroughness is thus facilitated). If there have been any changes in expectations or conditions of the Clinical Assistant Professor's employment, the department chairperson is to ensure that these are clearly communicated in writing to all participants in this meeting. This meeting will take place by November 30.
7. Following this meeting, the available tenured faculty, Clinical Associate Professors, and Clinical Professors are to complete and sign the colleague evaluation forms on the Clinical Assistant Professor and submit them to the department chairperson. This shall be done by December 10. Each tenured faculty member, Clinical Associate Professor, and Clinical Professor should include on the form, along with other comments, an indication recommending that the Clinical Assistant Professor be (a) Appointed or (b) Not Appointed as a Clinical Associate Professor, or an indication of a compelling reason for the faculty member to abstain. The department chairperson shall maintain the confidentiality of the evaluation forms, which shall not be available for review by the Clinical Assistant Professor. In addition to the chairperson, only the President, Provost, and Dean will have access to the evaluation forms.
8. After receiving the colleague evaluation forms, the department chairperson is to prepare a summary report of the observations made in the review meeting and in the colleague evaluations by the available tenured faculty, Clinical Associate Professors, and Clinical Professors, including a report of the Appoint/Not Appoint/Abstain vote and the chair's recommendation to appoint or not appoint the Clinical Assistant Professor as a Clinical Associate Professor, for submission to the Dean. Before submitting this report to the Dean, the department chairperson is to make this report available for inspection by the available tenured faculty, Clinical Associate Professors, and Clinical Professors, either by reading it to them or by allowing them to read it in a secure location such as the departmental office. This summary report shall not be duplicated or distributed via email, and shall *not* be made available to the Clinical Assistant Professor. The summary shall be submitted to the Dean, along with the Clinical Assistant Professor's notebook, by December 15.

If any of the available tenured faculty, Clinical Associate Professors, or Clinical Professors believes that his or her opinions were not adequately expressed in the chairperson's report, he or she may submit an independent letter expressing his or her opinion to the chairperson. This letter should be attached to the chair's letter and sent forward with it to the Dean.

9. By January 15, the Dean will submit a recommendation to the Provost regarding whether the Clinical Assistant Professor should be appointed to the rank of Clinical Associate Professor. The Dean will include with his or her recommendation the letter from the department chair, any independent letters as described in Section V.A.8, and the Clinical Assistant Professor's notebook.
10. By February 15, the Provost will submit a recommendation to the President, and the President will decide whether to appoint the Clinical Assistant Professor to the rank of Clinical Associate Professor. The President's decision shall be final and binding.
11. By March 1 the President will sign a letter to the Clinical Assistant Professor conveying this decision, and will report the decision to the Provost.
12. The Provost will communicate to each Dean the decision made for each Clinical Assistant Professor who is applying for the rank of Clinical Associate Professor within the Dean's academic unit.
13. The Clinical Assistant Professor's Dean or the Dean's designee will meet with the Clinical Assistant Professor to inform him or her of the Clinical Associate Professor decision and to deliver personally to the Clinical Assistant Professor the letter from the President officially notifying the candidate of the decision.

The Dean or Dean's designee will prepare a statement documenting the content and date of this meeting and the fact that these procedures have been followed. This statement will be included in the faculty member's official personnel file maintained in the Office of the Provost.

14. If the President determines that the Clinical Assistant Professor will be appointed to the rank of Clinical Associate Professor, the appointment to the rank of Clinical Associate Professor will take effect at the conclusion of the academic year in which the decision is made. The Clinical faculty member will receive a salary increase for the year following the year in which the decision was made (or, if budgetary constraints make such an increase impracticable for that year, the faculty member will receive a letter stating that the increase will be provided in the next budget period in which funds are available).

15. If the President determines that the Clinical Assistant Professor will not be appointed to the rank of Clinical Associate Professor, the Clinical Assistant Professor will be reappointed for a final year as a Clinical Assistant Professor.
- B. In the exceptional cases in which a Clinical Assistant Professor at Baylor seeks consideration for promotion to the rank of Clinical Associate Professor in a year other than the sixth year, the process will ordinarily mimic the process described in Section V.A above to the degree that it is possible and practicable to do so.

VI. Promotion to the Rank of Clinical Professor

A Clinical Associate Professor who seeks promotion to the rank of Clinical Professor will do so according to the following process:

A. Application for promotion

1. The Clinical Associate Professor may initiate the application for promotion or be recommended for promotion by the department chair. Whichever individual is initiating the application for promotion should notify the other in writing of his or her intent to do so by September 30 of the academic year during which the application for promotion will be made.

Note: In a school or college that acts as a single department for the purpose of performing these reviews, the duties described throughout this process as being done by the department chairperson will be done by the Dean or a faculty member designated by the Dean for this role.

2. Faculty letters of application for promotion to the rank of Clinical Professor should be modeled on the letter of application for promotion to the rank of Clinical Associate Professor, described in Section V.A.3.a, and should be submitted to the department chair by December 1. The letter of application should set forth the individual's qualifications for promotion.
3. The department chairperson should write an evaluation of the Clinical Associate Professor's achievements in teaching and mentorship. This should address all areas of these endeavors (for instance, classroom teaching, graduate-student advising, research collaboration with students, career mentoring, substantive contact with former students, etc.) that apply to the candidate. The chair may seek information from others familiar with the candidate's teaching and mentorship as the chair finds appropriate.
4. At least three letters assessing the candidate's scholarly/creative and/or clinical/professional achievements should be acquired by the department chair from evaluators outside the University who are knowledgeable in the candidate's field(s) of specialization, to be received by December 1. These evaluators should have significant levels of achievement in their fields, and

these levels of achievement should be clearly equivalent at least to the level of achievement expected by the University of a Clinical Professor in the discipline. Each letter should be accompanied by a copy of the evaluator's current curriculum vitae, and the chair should provide an explanation of the specific qualifications and areas of expertise that each evaluator provides for the process of assessing the candidate's work. The chair should consult with the candidate regarding the identity of suitable evaluators, and the candidate should provide appropriate materials for evaluators to examine in a timely fashion. Neither the identity of the evaluators who submit letters nor the letters themselves will be made available to the candidate (except through legal process), so as to make it most possible for evaluators to express their opinions freely.

5. The department chair should write an evaluation of the candidate's service activities within the department, the university, professional organizations, and/or the community. This should be based on the candidate's account of her or his activities. The chair may seek information from others familiar with the candidate's service as the chair finds appropriate.
6. Candidates for promotion must provide all additional documentation necessary for evaluating their qualifications for promotion.

B. Departmental recommendation

1. Each department or school should develop procedures by which its tenured faculty and Clinical Professors will make recommendations for promotion to the rank of Clinical Professor, and those decisions should be made on or before January 31.
2. If the decision is favorable, the chair of the department should relay this recommendation, along with all documentation, to the dean on or before February 1.
3. Whether or not the decision is favorable, the chair should inform the candidate about the departmental faculty's recommendation by February 1.

C. Appeals

1. If the department rejects the candidate's application, he or she may submit a written appeal of this decision to the dean on or before February 15.
2. If an appeal is made, the dean shall consult directly with the chair concerning the basis of the department's original recommendation. If the dean agrees with the department in rejecting the candidate's application, the process will be terminated.

D. The Dean's recommendation

By March 1, in any case in which the dean or the department or both recommend promotion, the dean will forward to the Provost his or her recommendation along with the department's recommendation and all documentation. If the dean's decision is not favorable and that decision is upheld by the Provost, the Provost shall notify the dean. The dean shall then notify the chair, who shall notify the candidate. This shall terminate the process.

E. The Provost's recommendation

If the process is not previously terminated, the Provost shall inform the President by March 15 of his or her recommendation concerning the application or nomination for promotion. The President's decision, which is final, shall be made by April 1. The final decision shall be communicated to the appropriate dean through the Provost by April 10. The dean shall then notify the chair, who shall in turn notify the candidate. If the Clinical Associate Professor is promoted to the rank of Clinical Professor, he or she will receive a salary increase for the year following the year in which the decision was made (or, if budgetary constraints make such an increase impracticable for that year, he or she will receive a letter stating that the increase will be provided in the next budget period in which funds are available).

F. Due Process

If a faculty member at any point in the proceedings believes that the promotion policy procedures have been violated, he or she should first discuss informally the problem with the responsible faculty or administrators. If there is no satisfactory informal resolution, the faculty member may file a formal grievance through the Grievance Committee.