

J. REQUIRED DOCUMENTS/INFORMATION FOR FACULTY APPOINTMENTS/PROMOTIONS

1. Effective Date

The materials for the initial appointment should be transmitted to the Office of Faculty Affairs well in advance of the requested effective date of the appointment. Requests for retroactive appointments and promotions will not be approved for an effective date more than 30 days prior to the date of submission unless the extenuating circumstances for such an action are documented within the letter of request.

The earliest effective date for actions reviewed by the FAP Committee is the first of the month following the corresponding Board of Trustees review date.

2. Letter of Request

The Letter of Request must be prepared and/or signed by the Head of the Academic Unit. This letter should include the Academic Unit Head's description of the expected functions to be performed by the faculty member and an evaluation of the person's qualifications to accomplish these functions. This Letter of Request should be addressed to the President of the College.

3. Record of Professional Training and Experience (RPTE)

The RPTE form is available on the Baylor's Faculty Affairs intranet website. It must be completed and signed by the candidate. Forms omitting the data or the candidate's signature will be returned to the Academic Unit for completion.

4. Verification of Training

Each Academic Unit, as part of its recruitment process, must verify the candidate's education and training credentials. This verification may be accomplished through communication with the person's mentor(s). An official transcript of highest degree earned is required for all new faculty appointments and for those voluntary faculty appointments who will be participating in the education mission of Baylor College of Medicine. [Instructions for the transcript requirement](#) can be found on the Faculty Affairs website. This documentation must be included in the candidate's package, which becomes part of the College's permanent record for the appointment.

5. Request for Faculty Appointment/Promotion (RFAP)

The RFAP form is available on Baylor's Faculty Affairs intranet website. This form must be completed by the Academic Unit and signed by the Head of the Academic Unit. The Academic Time must be indicated as Full-time, Part-time, Voluntary, or Emeritus. The appropriate tenure-designated title must be indicated. It is essential that the salary be given for appointments which would be paid through the College. If the salary comes directly from an Affiliated Institution or an external source, it should be included in the "Direct Non-Baylor Salary" line of this form. If the request is for a Voluntary appointment, the complete title must be given. The Academic Unit may also indicate whether the College's internal records should designate a Voluntary appointment as a Courtesy or Retired, as described above under "Voluntary Appointments." The salary source must be listed.

6. Curriculum Vitae

a. Appointments

A current CV must accompany all requests for appointments.

The approved Baylor [CV outline for appointments](#) should be followed for all CVs submitted with requests for appointment to the rank of:

- Faculty Clinician;
- Instructor;
- Assistant Professor (non-tenure track); or
- Assistant Professor (tenure track).
- Associate Professor (non-tenured);
- Associate Professor (tenure track).

The approved Baylor [CV outline for appointments](#) must be followed for all CVs submitted with requests for appointment to the rank of:

- Associate Professor (tenured);
- Professor (non-tenured); or
- Professor (tenured).

These ranks are reviewed by the FAP Committee. A request with a CV that is not in accord with this outline will be returned to the department.

A similar outline, described below, is used in conjunction with promotions; it includes data regarding activities undertaken during the period of an appointment with the College.

b. Promotions

The approved Baylor [CV outline for promotions](#) should be followed for all CVs submitted with requests for promotions to the rank of:

- Assistant Professor (non-tenure track); or
- Assistant Professor (tenure track).

The approved Baylor [CV outline for promotions](#) must be followed for all CVs submitted with requests for promotions to the rank of:

- Associate Professor (non-tenured);
- Associate Professor (tenure track);
- Associate Professor (tenured);
- Professor (non-tenured); or
- Professor (tenured).

These ranks are reviewed by the FAP Committee. A request with a CV that is not in accord with this outline will be returned to the department.

This CV outline is similar to the one used for appointments, with the addition of information relative to activities associated with the College.

7. National Search

A national search is required for any faculty appointment with tenure or in the tenure track or promotion with tenure or in the tenure track (if the initial appointment did not require a national search) when commitments for resources beyond salary are made by the College to the individual being appointed.

The process for the **national search** is outlined by each Academic Unit and approved by the College for each specific Academic Unit. The guidelines for the department's national search process are available from each departmental office. Specific guidelines for the entire College are not mandated by the Faculty Bylaws. However, **particular elements should appear in the search guidelines** for each Academic Unit. These elements include but are not limited to the following.

- Methods of national circulation communicating the availability of an opening may be done through:
 - advertising in journals, periodicals and on websites appropriate to the discipline/specialty;
 - writing letters of announcement to relevant departments at other institutions; and/or
 - using employment “fairs” at national meetings, with an appreciation that these events may not coincide with the schedule for a particular search process and would, therefore, not be used for every national search.
- In addition to any of the above methods, each department must post all openings for a national search with Baylor Human Resources. This procedure allows postdoctoral fellows and associates an opportunity to participate with other national applicants in the process of faculty recruitment in disciplines related to their own fields of training.

- Academic Units are encouraged to confirm the qualifications of anyone proposed for a Baylor faculty appointment in as direct a manner as practical, such as through on-site interviews or presentations. The availability of someone within the Baylor/Houston community should not prejudice the appointment of a qualified candidate who has not had an opportunity to appear in person prior to a final determination of his/her suitability for the position.
- Each department is required to adhere to the College's policies regarding affirmative action and equal employment opportunity and to honor the intent of the College to increase the diversity of its faculty.
- After committee review and evaluation at the departmental level, recommendations must be made to the Head of the Academic Unit.
- Sufficient record-keeping within the department is required to assure that evidence exists that a national search has been conducted in accord with the written and approved guidelines of the Academic Unit.

Exceptions to the requirement for a national search

If the College makes a commitment of resources to the individual beyond salary, a national search must be carried out. However, under some circumstances, it may not be possible or appropriate to conduct a national search. The requirement for a National Search can be waived by the Academic Head of Faculty Affairs.

8. Letters of Reference/Recommendation

Letters of reference in support of the appointment or promotion of a candidate are very important in the review process, especially that of the College-wide FAP Committee. **All reference letters received must accompany the Letter of Request prepared by the Head of the Academic Unit.**

A minimum of **six** letters are required for all FAP Committee-reviewed appointments and promotions that are at the following ranks:

- Associate Professor (tenured);
- Professor (non-tenured); or
- Professor (tenured).

A minimum of **three** letters are required for all FAP Committee-reviewed appointments and promotions that are at the following ranks:

- Associate Professor (non-tenured); or
- Associate Professor (tenure track).

For faculty members who have research as their primary focus, it is required that all letters must be in the **external** category. For faculty members who have patient care or education as their primary focus, external letters are preferable in most cases but may not be feasible in all cases. For faculty members who have patient care or education as their primary focus, letters from sources within the Texas Medical Center but outside the College and letters from within the College can count toward the six required letters, although the FAP Committee must judge whether the overall packet of letters is satisfactory.

External letters must be from experts at the same or higher rank than the rank the candidate is seeking, who were not direct supervisors, close mentors or close collaborators of the candidate, and who are familiar with the candidate's published or presented work and can attest to the person's regional, national and international reputation. Recognizing that not all referees may respond promptly, and that it may be necessary to request a number of letters slightly above the six required external letters, a small number in excess of six external letters may be submitted in order to accommodate the requirement that all letters of reference be forwarded to the FAP Committee. Individuals employed by an Affiliated Institution staffed primarily by Baylor faculty members (such as Baylor St. Luke's Medical Center, Ben Taub Hospital or the Michael E. DeBakey VA Medical Center) would not be considered external referees. In addition to the required letters, 3-5 reference letters from current or former Baylor co-workers or from former mentors or collaborators targeting special areas of excellence that may not be visible to external reviewers **may** be submitted. These types of letters are appropriate sources in support of a candidate, but are different from those submitted with the Education Portfolio. Such "additional" letters may be helpful in documenting the level of scientific independence of the candidate within group activities or some special administrative role, for example.

Faculty members who are being considered for appointment or promotion as Team Scientists must include additional letters from project directors, principal investigators or other collaborators who have first-hand knowledge of the candidate's role and are able to clarify and corroborate the candidate's critical involvement in the research efforts. The letters in support of a team scientist should be sufficient in number to establish the significance of the candidate's contributions.

A letter (or memorandum) from the Chair of an Intradepartmental Appointment/Promotion Committee, although included with the Letter of Request, does not substitute for an external reference letter.

It is highly recommended that external referee letters include a statement about whether the candidate would be competitive or considered favorably for a comparable appointment or promotion at the institution of the referee.

Letters for Appointments and Promotions not reviewed by the FAP Committee

Assistant Professor (tenure track). Three letters are required, but letters for this rank are not required to be external and are not reviewed by the FAP Committee. Although external reference letters are not required for appointment or promotion at these ranks, such documentation, if obtained during the national search procedure conducted by the Academic Unit, should accompany the Letter of Request to the President of the College.

The letters of reference may be solicited from sources identified by the candidate and/or by the Academic Unit in its internal procedures. The letters may be addressed to the Chairman of an Intradepartmental Committee, a designated Search Committee, or the Academic Unit. **All responses received from these sources must be included with the Letter of Request.**

Instructor, Assistant Professor (non-tenure track) or Faculty Clinician. Reference letters are not required for appointment as **Faculty Clinician, Instructor or Assistant Professor (non-tenure track)**.

Voluntary Faculty. Reference letters are not required for actions relating to voluntary Instructors and Assistant Professors. Three reference letters are needed for appointments at

the rank of Clinical Associate Professor, and three letters for Adjunct Professor or Visiting Professor, if the candidate does not hold the current full-time rank of Professor at an academic institution comparable to Baylor. Six letters are needed for the rank of Clinical Professor. These letters should be submitted to the Office of Faculty Affairs. See page 12 for more guidance.

9. Publications

Copies of the candidate's most representative publications must be included in the request for appointment or promotion to the rank of:

- Associate Professor (tenured) – three (3) publications; or
- Professor (tenured) – six (6) publications.

More than the requested number of copies will not be accepted.