

Faculty Promotion and Review Policy

Scope:

This policy applies to all Fred Hutchinson Cancer Center ("Fred Hutch") workforce members across all research services and areas.

Purpose:

This Fred Hutch Faculty Promotion and Review Policy (the "Promotion and Review Policy" or "Policy") supersedes and replaces all prior versions of the Fred Hutch Academic Policies for Faculty and Scientific Staff. The Fred Hutch Board of Directors (the "Board") is responsible for review and approval of any subsequent substantive revisions of this Policy.

Guidelines and procedures for implementation of this Promotion and Review Policy and related policies pertaining to faculty and scientific staff (the "Implementing Guidelines") have been and will continue to be developed and amended in consultation with scientific division leadership and with approval by the Fred Hutch Appointments and Promotions Committee ("A&P Committee") and the Fred Hutch President and Director ("President & Director"). The Implementing Guidelines may be adopted and revised from time to time and do not require Board review and approval.

Definitions:

Fred Hutch Commonly Used Titles and Definitions

- Fred Hutch titles and definitions commonly used in other Fred Hutch Institutional Policies are incorporated herein by reference.

Other Definitions

- **A&P Committee** - The Appointments and Promotions Committee advises the Fred Hutch President & Director on any matters relating to appointments, promotion, and reviews, ensuring that processes comply with this Promotion and Review Policy and the Implementing Guidelines.
- **Division A&P Process and Guidelines** - The appointments and promotions procedures and guidelines employed by each scientific division applied to Faculty and Scientific Staff holding their primary appointment in such scientific division.
- **Division Director** - Lead academic administrator for a scientific division, appointed by the President & Director. The Division Director may also hold the concurrent title of Senior Vice President.

- **Faculty, Faculty Member, or Professor** - Terms used interchangeably to denote individuals who hold the title of Professor, Associate Professor and Assistant Professor at Fred Hutch.
 - **Professor:** Individuals demonstrating mature and outstanding scholarship, excellence in research, national or international recognition and, where applicable, clinical, and administrative achievements.
 - **Associate Professor:** Individuals demonstrating a record of substantial and sustained success in a research discipline, achievement of national recognition for scientific accomplishments and, where applicable, clinical, and administrative achievements.
 - **Assistant Professor:** Individuals holding an appropriate doctoral or medical degree with post-doctoral research or clinical fellowship experience who demonstrate a high probability of success in their chosen discipline.

- **Full-Time Clinical Faculty (“FTCF”)** - Individuals who generally devote the majority of their time to patient care, clinical services, and teaching at one of Fred Hutch’s approved clinical sites. FTCF hold the appointment titles of Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor, and where appropriate, are a member of University of Washington Physicians (“UWP”) or Children’s University Medical Group (“CUMG”). FTCF are not eligible to vote on Faculty or Scientific Staff appointments or promotions.

Policy:

Promotions

General Guidelines for Promotions

Decisions to nominate Faculty Members for promotion are made annually within each scientific division. In situations where Faculty hold joint appointments at UW, reasonable efforts will be made to accommodate coordinated evaluation with University of Washington (“UW”).

Subject to this policy, each scientific division may have its own process for promotional review and for adjustments to Faculty Members’ space and resources upon promotion.

Additional details relating to Promotions are set forth in the Implementing Guidelines.

Associate Professors

Associate Professors may be nominated for promotion at any time but must be considered for promotion by the fifth year in rank as an Associate Professor (exclusive of any approved changes to the Faculty Member’s promotion timeline). Individual scientific divisions may require that time in rank as an Associate Professor be limited and that a decision to promote or not must be made within a certain time period or may allow faculty to remain at the Associate Professor rank indefinitely, but with mandatory five-year reviews.

Assistant Professors

In most scientific divisions, Assistant Professors may be nominated for promotion at any time during the first five years of appointment but must be considered for promotion by the end of their fifth year (exclusive of any approved changes to the Faculty Member's promotion timeline). The maximum time in rank as an Assistant Professor varies by division but may not exceed seven years (including one year of termination notice) in any division.

Full-Time Clinical Faculty

Mandatory promotion is not required for Full-Time Clinical Faculty. Time in rank alone is not sufficient for promotion. Promotion beyond Clinical Instructor will depend on meeting the criteria for Clinical Assistant Professor. Full-Time Clinical Faculty are subject to annual reappointment reviews.

Faculty Reviews

Five-Year Reviews of Professors

Faculty Professors are reviewed every five years. The purpose of the review is to evaluate whether the Professor meets Fred Hutch standards for scientific excellence, and whether the Professor meets other criteria (such as participation in clinical care and teaching activities) as established by the primary Division in which the Professor resides. The five-year review provides an opportunity for the Professor and their Division Director to discuss career development and future resource needs of the Professor.

The review is initiated by the Division Director of the Division in which the Professor holds their primary appointment. In situations where the Professor holds a joint appointment in another Division, the Director of that Division will also be consulted. The final decision regarding reappointment is made by the President & Director.

The five-year intervals in no way limit Fred Hutch's ability to enforce other Fred Hutch policies (such as policies on Conflict of Interest, Scientific Misconduct, and Harassment) or to take appropriate disciplinary actions for violations of those policies including termination of employment.

Professors who are based at other institutions but hold a joint appointment at Fred Hutch may be required to undergo a five-year review, depending on the space and resource commitment made by Fred Hutch.

Timeframe for Completion of Five-Year Reviews

For each Professor undergoing a five-year review (or Associate Professor undergoing a five-year reappointment review), the Division review process must be completed, and the results of the review delivered to the A&P Committee, no later than the fifth anniversary of (a) the completion date of the Professor/Associate Professor's last five-year review, or (b) if the Faculty Member is new to the rank of Professor or Associate Professor, the date of promotion to their terminal rank. The Division Director may allow an extension if special circumstances exist, as detailed in the Implementing Guidelines.

Deferral of Review Process for HHMI Faculty. Due to the rigorous review process required by the Howard Hughes Medical Institute (“HHMI”), the Fred Hutch review process is generally waived for Faculty Members who have an active HHMI appointment as an HHMI investigator. If a Faculty Member who is an HHMI Investigator does not pass an HHMI review, they will be subject to a review within one year under the current Promotion and Review Policy. Notwithstanding the foregoing, a Fred Hutch review process also can be initiated outside of the HHMI review schedule by the Faculty Member’s Division Director, or the President & Director as needed.

Process

Subject to this policy, each scientific division (“Division”) may have its own process for conducting promotion and five-year reviews. Changes to these processes must be consistent with Division-wide policies and approved by the President & Director. Changes to Division-wide policies will be made only after consultation with the A&P Committee. Division-wide criteria, which are discussed in greater detail in the Implementing Guidelines, include:

- **Scholarship:** Includes research contributions, publication record, success in obtaining research funding, evidence of leadership in the greater scientific community, and honors and awards.
- **Service and Mentorship:** This includes both external and internal professional service, including but not limited to, committee service, community-engaged research, continuing education, and clinical or community activities.
- **Citizenship:** Demonstrated through adherence to Fred Hutch policies and values, such as behaviors around collaboration, respect for others, and professionalism. Also includes any activities directed towards advancing the climate and culture of Fred Hutch or academia more broadly.
- **Clinical Work (if applicable):** Includes the nature and quality of clinical work.

Promotion decisions for Full-Time Clinical Faculty are based primarily on Service and Mentorship, Citizenship, and Clinical Work, and any additional criteria requested by the applicable Division(s). Annual reviews for FTCF are subject to Division-level criteria.

Determinations

After the Division review process is complete, the results of the Division review and all supporting materials shall be sent to the A&P Committee, which will undertake a further review to determine whether Fred Hutch and Division processes were followed and whether the review criteria were properly applied. Following the completion of its review, the A&P Committee shall make a recommendation to the President & Director.

The President & Director makes the final determination regarding a Faculty Member’s status following a promotion or reappointment review and advises the Faculty Member in writing of that final determination.

- **Satisfactory Review**
 - If the Division finds that the Faculty Member’s performance meets Fred Hutch and Division standards and the A&P Committee concurs, a recommendation will

be made to the President & Director. The President & Director will make the final determination regarding the Faculty Member's status.

- **Unsatisfactory Review**

- If the Division finds that the Faculty Member's performance does not meet Fred Hutch and Division standards and the A&P Committee concurs, the Faculty Member will be so informed by the Division Director(s). The Faculty Member may appeal to the President & Director, who may appoint an advisory committee of respected scientists to review the situation and report their findings and conclusions back to the President & Director. The President & Director will make the final determination regarding the Faculty Member's status.

- **Disagreements and Failure to Follow Procedures**

- **Disagreement About Performance**

- If the Division review finds that the Faculty Member's performance meets Fred Hutch and Division standards, but the A&P Committee determines that the applicable review processes were not followed or the A&P Committee does not concur with the Division recommendation, the A&P Committee's concerns will be referred to the Division Director(s) for consideration. In cases where there is disagreement between the A&P Committee and the Division Director(s) concerning the review process or the appropriate determination for a particular Faculty Member, the President & Director will make the final determination regarding the Faculty Member's status.

- **Failure to Follow Procedures**

- If the Division review finds that the Faculty Member's performance does not meet Fred Hutch and Division standards, but the A&P Committee determines that the applicable review processes were not followed or that review criteria were not properly applied, the A&P Committee's concerns will be referred to the Division Director(s) for reconsideration. In situations where there is disagreement between the A&P Committee and the Division Director(s) about the review process or the appropriate recommendation, the President & Director will make the final determination regarding the Faculty Member's status.

- **Disagreement Between Divisions**

- If one Division finds that a Faculty Member's performance meets Fred Hutch and Division standards and another Division finds it does not, both findings will be referred to the A&P Committee for review. In general, the Division in which the Faculty Member holds their primary appointment will take the lead in discussions with the Faculty Member about performance and necessary improvement. The President & Director will make the final determination regarding the Faculty Member's status.

Appeal Process

If the Faculty Member believes that the promotion or reappointment decision was made in error and/or that Fred Hutch did not follow appropriate policies or procedures, the Faculty Member may appeal to the President & Director. The President & Director has broad discretion in the conduct of the review. The President & Director may appoint an advisory committee and/or appoint an individual to conduct the review. The President & Director makes the final determination regarding the Faculty Member's status.

Appeals must be made within 30 days of notification of the promotion or reappointment decision from the Division and must specify the reason(s) for the appeal. Absent a timely notice of appeal, the Division's determination will be final.

Action Plan for Unsatisfactory Five-Year Review

Within 30 days of the date a Faculty Member receives a final determination of an unsatisfactory review, the Faculty Member, and their Division Director(s) must develop a mutually acceptable "Action Plan." Action Plans, which must be reviewed by the A&P committee and approved by the President & Director, must include the following terms:

- A detailed description of each required improvement in performance needed to meet Fred Hutch and Division standards, and a description of how the member intends to accomplish each required improvement;
- Any milestones and the date by which all required improvements must be completed, which cannot be later than two years from the date the Action Plan is approved by the President & Director;
- The date by which any repeat review must be completed, which date cannot be later than six months after the date for completing the required improvements; and
- The space and resources that will be provided to the Faculty Member during the term of the Action Plan.

If the Division Director(s) and the Faculty Member cannot agree on the details for an Action Plan, the Faculty Member may appeal to the President & Director for a decision about the terms of the Action Plan. The President & Director's decision shall be final and binding on the Faculty Member.

Salary Support and Bridge Funding. During the term of the Action Plan, the Faculty Member will receive salary support and bridge funding in accordance with applicable Fred Hutch and Division policies. After the bridge funding available under applicable Fred Hutch and Division policies is exhausted, a Faculty Member subject to an Action Plan will continue to receive salary support. Such salary support shall not be used or reallocated by the Faculty Member for any

other purpose. Moreover, the Faculty Member may not reduce their employment status to provide additional support for their laboratory.

Annual Progress Reports and Reviews. In addition to meeting any required milestones in the Action Plan, a Faculty Member under an Action Plan must submit an annual progress report to the Division Director(s) of each division in which the Faculty Member holds an appointment. Likewise, the Division Director of the Division in which the Faculty Member holds their primary appointment shall provide the Faculty Member under an Action Plan an internal performance update at least annually to outline progress and review the Faculty Member's resource requirements. The annual review process should include a frank and candid discussion between the Faculty Member and their Division Director about progress on the Action Plan, the likelihood of the Faculty Member successfully completing the plan and a repeat review, and options available to the Faculty Member if they do not wish to continue with the Action Plan and repeat review process.

Changes to Action Plan, Failure to Comply. Any changes to the Action Plan must be mutually agreed upon by the Faculty Member and the Division Director(s) of each Division in which the Faculty Member holds an appointment and then must be approved by the President & Director. A Faculty Member's failure to comply with an established Action Plan may result in termination of the Faculty Member's appointment under this Promotion and Review Policy.

Repeat Review

A repeat review will be conducted at the date established in the Action Plan. The review will be conducted first by the Division Director(s), then by the A&P Committee, and lastly by the President & Director. The President & Director may appoint an advisory committee of respected scientists to review the situation and report their findings and conclusions back to the President & Director. The President & Director makes the final determination regarding a Faculty Member's status following a repeat review and advises the Faculty Member in writing of that final determination.

Repeat reviews do not initiate a new five-year term. If it is determined that the Faculty Member's performance meets Fred Hutch and Division standards, the Faculty Member shall be in good standing until the next review, which term commenced upon the date of the preceding five-year review. If it is determined that the Faculty Member's performance does not meet Fred Hutch and Division standards, the Division Director(s) of the Division(s) where the Faculty Member's appointment is held will determine whether the Action Plan should be modified or extended, or whether the Division Director(s) and the Faculty Member will initiate transition planning for the Faculty Member's separation from Fred Hutch. If the Faculty Member does not agree with a Division Director(s) determination that transition planning should be initiated, the Faculty Member may appeal the determination to the President & Director. The President & Director's decision shall be final.

Terminations

Notice to Faculty Members

In situations in which the Faculty Member is not promoted or receives an unsatisfactory review (or repeat review), and it is determined that the Faculty Member's employment should be terminated, the Faculty Member will be given a one-year notice of termination of their employment and faculty status. The notice of termination may not be less than one year without the written agreement of the Faculty Member and may not exceed one year without the written approval of the President & Director.

During the period commencing on the date the Faculty Member receives the notice of termination and ending on the date of termination stated in the notice ("Exit Period"), the Faculty Member will remain an employee and Faculty Member of Fred Hutch and will continue to receive salary support in accordance with the policies of Fred Hutch and any divisions in which the Faculty Member holds an appointment.

During the Exit Period the Faculty Member will be responsible for (a) winding down all activities in their laboratory in consultation with the appropriate Division Director or their designee, (b) performing such additional responsibilities as may be reasonably requested by their Division Director or their designee, and (c) continuing to comply with all applicable Fred Hutch policies. Failure to carry out these responsibilities may result in immediate termination of employment and faculty status at the sole discretion of the President & Director.

The President & Director has the discretion to terminate a Faculty Member before or during the Exit Period without notice for misconduct or other significant violation of Fred Hutch Institutional Policies.

References

In addition to this Promotion and Review Policy, Faculty are subject to and must comply with all Fred Hutch Institutional Policies, Implementing Guidelines, and scientific division procedures and requirements. This Promotion and Review Policy supplements those policies, procedures, and requirements. In the event of a conflict between the Promotion and Review Policy and the more broadly applicable policies, procedures, and requirements, the terms of this Promotion and Review Policy control.

Compliance with University of Washington (UW) Faculty Policies

The Fred Hutch and University of Washington Affiliation Agreement effective June 30, 1994, sets forth the terms and conditions under which certain Fred Hutch faculty are granted UW faculty appointments and are subject to UW policies and procedures, including the terms of the [UW Faculty Code](#) ("UW Faculty Policies"). To the fullest extent permissible under applicable law, the Promotion and Review Policy shall be interpreted and administered in a manner consistent with UW Faculty Policies.