

<b>POLICY</b>			
<b>Title:</b> Duke-NUS Faculty Appointment Policy Framework	<b>Revision Date</b>	<b>Version Number</b>	<b>Date of Dean's Approval</b>
<b>Approved by:</b> Prof Thomas Coffman Dean Duke-NUS	15 January 2016	0 (Original Version)	12 February 2016
	25 March 2020	1.0	3 April 2020
	14 August 2020	2.0	14 August 2020
<b>Prepared by:</b> Prof Patrick Casey Senior Vice Dean of Research Duke-NUS			

## I. PURPOSE

1. The purpose of this policy is to formalise a Duke-NUS Faculty Appointment Policy Framework.

## II. BACKGROUND

2. With the strengthening of the Duke-NUS and SingHealth partnership and the formalisation of the Academic Medical Centre (AMC) on the Outram campus, the number of clinicians and PhD research investigators from SingHealth, and also from other external organisations, seeking faculty appointments with Duke-NUS is steadily increasing.
3. In view of this, it is timely to streamline and institute the Duke-NUS Faculty Appointment Policy Framework for better alignment of the School's faculty appointment requirements with its faculty appointment structure – in terms of faculty academic homes, appointment types, academic ranks and academic tracks - so as to cater to the broad spectrum of candidates seeking appointments with Duke-NUS. This is to ensure:
  - (i) Consistency in the way that Duke-NUS appoints and organises its faculty so as to strengthen their affiliation with the academic homes that they are appointed in.
  - (ii) That the academic homes provide guidance and mentorship to their faculty so that faculty stay on track in their academic career, in terms of research, education and service outputs. The role of academic homes in charting the career paths of their faculty is important for faculty development and retention.
  - (iii) Stringency in the School's faculty selection and evaluation process so that only candidates of high quality are appointed.
4. The revised "Faculty Appointments for Duke-NUS" document was approved by the Duke-NUS Governing Board (GB) on 25 May 2012. Subsequently, for greater clarity, the following

edits were made to this document on November 2012, 29 March 2013, 15 January 2016 and 14 August 2020, respectively:

- (i) The “Faculty Appointments for Duke-NUS” document was renamed “Duke-NUS Faculty Appointment Structure” to better reflect the content of the document.
- (ii) The underlined text was included in the description for Regular Rank Faculty Appointments: “Regular Rank appointments are awarded to members who are expected to make meaningful contributions to the research and / or educational missions of Duke-NUS as part of their daily activities.”
- (iii) The following sentence was removed from the Regular Rank Tenure Track description as not all Duke-NUS tenure-track faculty would have > 50% appointment with the School: “All would have > 50% Duke-NUS appointments.”
- (iv) The criteria for Regular Rank non-tenure Track IIA (Research) appointment was edited to specify that this track was for faculty who spend the majority of their academic effort on research and have no clinical commitments. This is to clearly differentiate Track IIA (Research) from Track IIB (Research).
- (v) The Regular Rank non-tenure Track IIB (Clinical / Education / Administration Track) was edited to include the “Research” component (i.e. Clinical / Research / Education / Administration Track). This track was further designated into:
  - a) Track IIB (Research) which is for faculty who have effort on clinical activities, but with significant academic effort on research; and
  - b) Track IIB (Education) which is for faculty who have effort on clinical activities, but with significant effort in medical education / academic administration. Faculty with main effort on medical education / academic administration but with no clinical commitments, can also be appointed on Track IIB (Education).
- (vi) The Regular Rank non-tenure Track IIC (Practice Track), which was approved by the GB on 5 March 2016, was included.
- (vii) The underlined text was included in the description for Track IIA, Track IIB and Track IIC: “Exceptional individuals in these tracks would be eligible for consideration for tenured appointments by moving their appointment to respective Track I category, even though the tracks are not tenure-track per se.”
- (viii) The Clinical Faculty Appointment type (parallel to the existing Adjunct Faculty Appointment type), which was approved by the GB on 8 June 2020, was included.
- (ix) The following sentence was removed from the Adjunct Faculty Appointments description: “A large number will be clinicians who participate in medical education or medical care at SingHealth”. This is because with the creation of the new Clinical Faculty Appointment type, clinicians who participate in medical education or medical care at SingHealth will no longer be appointed as Adjunct Faculty, but as Clinical Faculty.

As the above edits were more of a clarification nature than a material one, the edited Duke NUS Faculty Appointment Structure document was not surfaced to the GB for approval. A copy of the version (last edited on 14 August 2020) is provided in Annex 1.

5. A diagram overview of the “Duke-NUS Faculty Appointments, Promotion & Tenure (APT) Procedures (revised on 14 August 2020)” is also provided in Annex 2.

### **III. DUKE-NUS FACULTY APPOINTMENT POLICY FRAMEWORK**

#### **6. Academic Homes For Faculty Appointments**

##### 6.1 Generally:

- (i) Regular Rank, Adjunct, Clinical and Visiting faculty appointments for clinicians / PhD research investigators shall in the first instance reside in a / an Signature Research Programme (SRP) / Academic Clinical Programme (ACP). For those appointments that do not fit into any specific SRP / ACP, they can be accommodated within the SingHealth Duke-NUS Global Health Institute (SDGHI) / Centre / Office of Education (e.g. a candidate who has a teaching role but has no other connection with a / an SRP / ACP, can have his / her faculty appointment reside in the Office of Education).
- (ii) All tenure-track and tenured (Track IA / IB / IC) faculty appointments must reside in a / an / the SRP / ACP / Office of Education.
- (iii) The academic home for clinicians / PhD research investigators whose primary employer is:
  - a) Duke-NUS, shall in the first instance reside in a SRP.
  - b) SingHealth or a SingHealth-affiliated institution (hereby collectively referred to as “SingHealth” in this policy paper) and who are seeking faculty appointments with Duke-NUS, shall in the first instance reside in an ACP.
  - c) NUS or an external institution (SingHealth excluded), and who are seeking faculty appointments with Duke-NUS, shall in the first instance reside in a / an SRP / ACP.

- 6.2 A table presenting an overview of the “Academic Homes for Duke-NUS Faculty Appointments (as at 14 August 2020)” is provided in Annex 3.

#### **7. Faculty Appointment Types Proposed By Programmes / Institutes / Centres / Office of Education**

- 7.1 SRPs, ACPs and Office of Education can propose candidates to be considered for the following faculty appointments:

- (i) Regular Rank:

- a) Tenure-track / Tenured (Track IA / IB / IC)
  - b) Non-tenure track (Track IIA / IIB / IIC)
- (ii) Adjunct
  - (iii) Clinical
  - (iv) Visiting

The prevailing Duke-NUS Human Resources Department's requirements and processes are applicable for Visiting Faculty appointments.

7.2 It is recommended that SDGHI, Centres and Office of Education propose candidates to be considered for:

- (i) Adjunct faculty appointment
- (ii) Clinical faculty appointment
- (iii) Joint Regular Rank faculty appointment via either of the following 2 processes:
  - a) If the candidate already holds a Regular Rank faculty appointment residing in a / an / the SRP / ACP / Office of Education, he / she can be proposed for a joint appointment with the SDGHI / Centre at the same academic rank, track and tenure type as that held in the SRP / ACP / Office of Education. The joint appointment does not need to go through the APT / Appointments and Promotions (AP) process.
  - b) If the candidate does not hold an existing Regular Rank faculty appointment residing in a / an / the SRP / ACP / Office of Education, the SDGHI / Centre can together with a suitable SRP / ACP / the Office of Education put the candidate up for a Regular Rank faculty appointment through the APT / AP process, but with clear stipulation that the candidate's primary appointment will reside in that particular SRP / ACP / the Office of Education and that his / her appointment with the SDGHI / Centre will be a joint one.

- (iv) Visiting faculty appointment

If the SDGHI / Centre wishes to propose a candidate for a Regular Rank faculty appointment whereby the primary appointment is to reside in the SDGHI / Centre, prior approval is to be sought from the Dean by the entity that is proposing the appointment.

## 8. Regular Rank Faculty Appointments

8.1 Regular Rank Track IIB (i.e. Clinical / Research / Education / Administration Track) faculty appointment will be designated into:

- (i) Track IIB (Research)

For faculty who have effort on clinical activities, but with significant academic effort on research.

(ii) Track IIB (Education)

For faculty who have effort on clinical activities, but with significant effort in medical education / academic administration.

8.2 The inclusion of a letter of support from the Academic Medicine Education Institute (AMEI) Director in the candidate's dossier is recommended for clinicians / PhD research investigators who are being proposed by a / an / the SRP / ACP / SDGHI / Centre / Office of Education for Regular Rank Track IIB (Education) or Track IC (Clinician / Scholar) faculty appointments.

8.3 The minimum number of reference letters required for a Regular Rank faculty appointment is as follows:

(i) Instructor (non-tenure track): 3

(ii) Assistant Professor (tenure-track / non-tenure track): 3

(iii) Associate Professor (tenure-track / non-tenure track): 4

(iv) Professor (tenure-track / non-tenure track): 6

(v) Associate Professor / Professor (with tenure): 6

## **9. Adjunct and Clinical Faculty Appointments**

9.1 Adjunct faculty appointments will generally be for candidates (clinicians / PhD research investigators) who are given courtesy-type appointments, which are generally accorded to candidates from external organisations (i.e. outside SingHealth, including from private practice).

9.2 Clinical faculty appointments will primarily be for clinically-centric individuals whose focus and contributions are on clinical / medical care at SingHealth, but who also have measurable academic / leadership involvement.

9.3 Adjunct / Clinical faculty appointments are not recommended for PhD research investigators who are solely doing research (i.e. with no clinical activities) and are from the Duke-NUS / SingHealth partnership umbrella axis, regardless of whether they are clinically qualified or hold a medical degree. Such candidates should be put up for Regular Rank tenure-track (Track IA / IB / IC) or non-tenure track (Track IIA / IIB / IIC) faculty appointments.

9.4 A minimum of 2 reference letters from referees external to the candidate's institution are required for a / an Adjunct / Clinical Professor level appointment.

## **10. Clinicians In Singapore-based Hospitals / Specialty Centres / Government Polyclinics / Private Practice**

10.1 Clinicians in Singapore-based hospitals / specialty centres / government polyclinics / private practice who:

- (i) Hold Associate Consultant positions shall automatically qualify for appointment as:
  - a) Adjunct / Clinical Instructor; or
  - b) Instructor (Regular Rank).
- (ii) Hold Consultant and above positions shall automatically qualify for appointment as:
  - a) Adjunct / Clinical Assistant Professor; or
  - b) Assistant Professor (Regular Rank).

The standard Duke-NUS faculty appointment requirements and processes are still applicable for the 2 groups of clinician candidates in 10.1(i) and 10.1(ii) above.

- (iii) Do not hold a clinical title will not automatically qualify for a particular faculty type or academic rank at Duke-NUS. The SRP / ACP / SDGHI / Centre / Office of Education that is putting up such candidates for a faculty appointment is to propose an appropriate or suitable faculty type and academic rank for evaluation by the relevant approving bodies (e.g. Duke-NUS Academic Council (AC) / full APT Committee / APT Committee Chair / AP Committee / Dean / etc) in Duke-NUS.

## **11. Type and Level of Faculty Appointments Under Dean's Purview**

11.1 The following faculty appointments are under the purview of the Dean, without requiring (i) discussion by the full APT Committee or (ii) surfacing to the full APT Committee for information:

- a) Adjunct / Clinical Faculty Appointment  
For Instructor, Assistant Professor and Associate Professor levels.
- b) Regular Rank Non-Tenure Track (Track IIA / IIB) Faculty Appointment  
For Instructor and Assistant Professor levels.

11.2 The type and level of faculty appointments in 11.1(a) and 11.1(b) above will be reviewed and recommended by the APT Committee Chair to the Dean for approval. The appointment approval process for such candidates whose appointments reside in a / an / the:

- (i) SRP, will be from the SRP Director (with review by the Head of Office (HOO)) through the APT Committee Chair to the Dean.
- (ii) ACP / SDGHI, will be from the ACP / SDGHI Director (with review by the relevant HOO) to the AC (for SingHealth clinicians / PhD research investigators), followed by through the APT Committee Chair to the Dean.
- (iii) SDGHI, will be from the SDGHI Director (with review by the HOO) through the APT Committee Chair to the Dean. This process is applicable to external (SingHealth excluded) candidates whereby the AC's review is not required prior to the review by the APT Committee Chair.

- (iv) Centre, will be from the Centre Director (with review by the HOO; and to the AC, wherever applicable, for e.g., for SingHealth clinicians) through the APT Committee Chair to the Dean.
- (v) Office of Education, will be from the HOO through the APT Committee Chair to the Dean. This process is applicable to external (SingHealth excluded) candidates whereby the AC's review is not required prior to the review by the APT Committee Chair.

## **12. Types of Regular Rank Faculty Track Conversion Under Dean's Purview**

12.1 The following types of Regular Rank faculty track conversion are under the purview of the Dean, without requiring review by the full APT Committee / APT Committee Chair:

(i) For Assistant Professor, Associate Professor and Professor Levels:

- a) From Regular Rank tenure-track (Track IA / IB / IC) to (1) Regular Rank non-tenure track (Track IIA / IIB / IIC) or (2) Adjunct / Clinical track at the same academic rank as that of the tenure-track appointment. Candidates who make this track conversion cannot switch back to a tenure-track appointment.
- b) From Regular Rank non-tenure track (Track IIA / IIB / IIC) to Adjunct / Clinical track at the same academic rank as that of the non-tenure track appointment. Candidates who make this track conversion may be allowed to switch back to a non-tenure track appointment at the same academic rank as that of their previously approved non-tenure track rank, subject to the Dean's approval.

(ii) For Associate Professor and Professor Levels:

From non-tenure track (Track IIA / IIB / IIC) to tenure-track (Track IA / IB / IC) at the same academic rank (without tenure) as that of the non-tenure track appointment.

12.2 Conversion of Assistant Professor appointments from Regular Rank non-tenure track (Track IIA / IIB) to Regular Rank tenure-track (Track IA / IB / IC) at the same academic rank as that of the non-tenure track appointment, will be treated as a new tenure-track appointment that requires the full APT Committee's review and recommendation to the Dean for approval, followed by surfacing to the Academic and Research Committee (ARC) for information.

## **13. Conversion From Adjunct / Clinical to Regular Rank Faculty Appointment at A Higher Academic Rank**

13.1 For a clinician / PhD research investigator candidate who is already holding a / an Adjunct / Clinical faculty appointment at Duke-NUS and is being put up to the full APT Committee / APT Committee Chair / AP Committee for simultaneous (i) conversion to a Regular Rank faculty appointment AND (ii) promotion to a higher academic rank than that of his / her current Adjunct / Clinical appointment, the conversion and promotion processes should generally be carried out sequentially, instead of concurrently. The candidate should first convert his / her Adjunct / Clinical appointment to a Regular Rank appointment at the same academic rank as that of his / her Adjunct / Clinical appointment, before being put up for a Regular Rank faculty

promotion to a higher academic rank. Exception to this process requires prior approval of the Dean which is to be sought directly by the entity that is putting up the appointment.

#### **14. Validity Period of Faculty Appointment Approval**

- 14.1 For an individual who was previously appointed as a Regular Rank / Adjunct / Clinical faculty member at a particular academic rank and track with Duke-NUS after approval by the relevant approving bodies (e.g. AC / full APT Committee / APT Committee Chair / AP Committee / Dean / ARC / GB), and who subsequently left the employ of Duke-NUS but later seeks re-employment with the School, the re-appointment does not need to go through the APT / AP process again, as long as the individual is being recommended for re-appointment at the same academic rank and track as that previously approved. For such cases, the SRP / ACP / SDGHI / Centre / Office of Education shall directly seek Dean's approval for the re-appointment. This process is not applicable for cases involving the re-award of tenure to formerly tenured faculty members seeking re-appointment with Duke-NUS; all award and re-award of tenure need to be reviewed and recommended by the full APT Committee to the Dean for endorsement, followed by review and recommendation by the ARC to the GB for approval.

#### **15. Duke-NUS Faculty Appointments, Promotion and Tenure Requirements and Processes**

- 15.1 Sections 6 to 14 above notwithstanding, the standard Duke-NUS Faculty Appointments, Promotion and Tenure requirements and processes, as well as the School's other applicable procedures, must be adhered to and complied with.

#### **16. Deviations**

- 16.1 Any deviation to the Duke-NUS Faculty Appointment Policy Framework outlined in this policy paper will require the Dean's approval which shall be sought directly by the relevant SRP / ACP / SDGHI / Centre Director or HOO of Education.

#### **17. Revisions**

- 17.1 Any revision to the Duke-NUS Faculty Appointment Policy Framework outlined in this policy paper will require the approval of the Dean.



# Duke-NUS Faculty Appointment Structure

**Note:**

*GB approved revised version on 25 May 2012.*

*Clarification of Track IIB in November 2012.*

*Text edited for clarity on 29 March 2013, 15 January 2016 and 14 August 2020.*

*Track IIC (Practice Track) approved by GB on 5 March 2016 and Clinical Faculty Appointment approved by GB on 8 June 2020, were inserted on 14 August 2020.*

## A. Regular Rank Faculty Appointments

- Regular Rank appointments are awarded to members who are expected to make meaningful contributions to the research and / or educational missions of Duke-NUS as part of their daily activities.
- Regular Rank includes both tenured and non-tenured tracks.

### I. Tenure Tracks

- a. NUS tenure policies apply
- b. Three levels: Assistant (Asst), Associate (Assoc) and full Professor (Prof)
- c. Three tracks

#### **Track IA. Basic Scientist Track**

For faculty who spend the majority of time on research; remainder on education and administration.

#### **Track IB. Clinician-Scientist Track**

For clinically-certified faculty who spend the majority of time on research; remainder on clinical / education / administration.

#### **Track IC. Clinician / Scholar Track**

Primarily for senior career-track administrators or educators who have accomplished academic credentials. Such individuals may also have significant research or clinical activities, but administration and / or curriculum development / innovation in medical education is currently a principal focus. It is anticipated that only a few select appointments will be made on this track.

### II. Non-Tenure Tracks

- a. Must be full time public sector employees, e.g. with primary appointment at a public University, Research Institute, or Hospital / Health Group.
- b. Annual or multi-year renewable contracts; Assoc Prof and Prof would generally be 3-year.
- c. Four levels: Instructor, Asst Prof, Assoc Prof, full Prof. If faculty member holds a Regular Rank appointment at NUS, the same rank will be used at Duke-NUS; such a joint appointment requires permission of their respective Head of Department and Dean. Duke faculty seconded to Duke-NUS at their current Duke rank can be appointed in Track II category at discretion of the Dean of Duke-NUS. No APT action is required.
- d. Three tracks

### **Track IIA. Research Track**

For faculty who spend the majority of their academic effort on research and who have no clinical commitments. Academic research effort may include significant duties in managing core facilities.

### **Track IIB. Clinical / Research / Education / Administration Track**

For faculty who have effort on clinical activities, but with significant academic effort on research – Track IIB (Research) - or medical education / academic administration – Track IIB (Education). Faculty with main effort on medical education / academic administration but with no clinical commitments, can also be appointed on Track IIB (Education).

### **Track IIC. Practice Track**

For faculty members with international regulatory expertise from diverse backgrounds, including law, health sciences, politics, and many others. There are two levels, namely, Assoc Prof and full Prof.

Exceptional individuals in these tracks would be eligible for consideration for tenured appointments by moving their appointment to respective Track I category even though the tracks are not tenure-track per se.

## **B. Adjunct Faculty Appointments**

- No minimum effort requirement.
- Primarily for clinicians, PhD investigators and external appointees outside of SingHealth. May also be conferred upon individuals from private sector or research institutes who have significant involvement in Duke-NUS research or educational activities. May also be used for courtesy-type appointments.
- Four levels: Instructor, Asst Prof, Assoc Prof, full Prof; all preceded by the term “Adjunct”.

## **C. Clinical Faculty Appointments**

- No minimum effort requirement.
- Primarily for clinically-centric individuals whose focus and contributions are on clinical / medical care at SingHealth, but who also have measurable academic / leadership involvement.
- Four levels: Instructor, Asst Prof, Assoc Prof, full Prof; all preceded by the term “Clinical”.

## **D. Visiting Faculty Appointments**

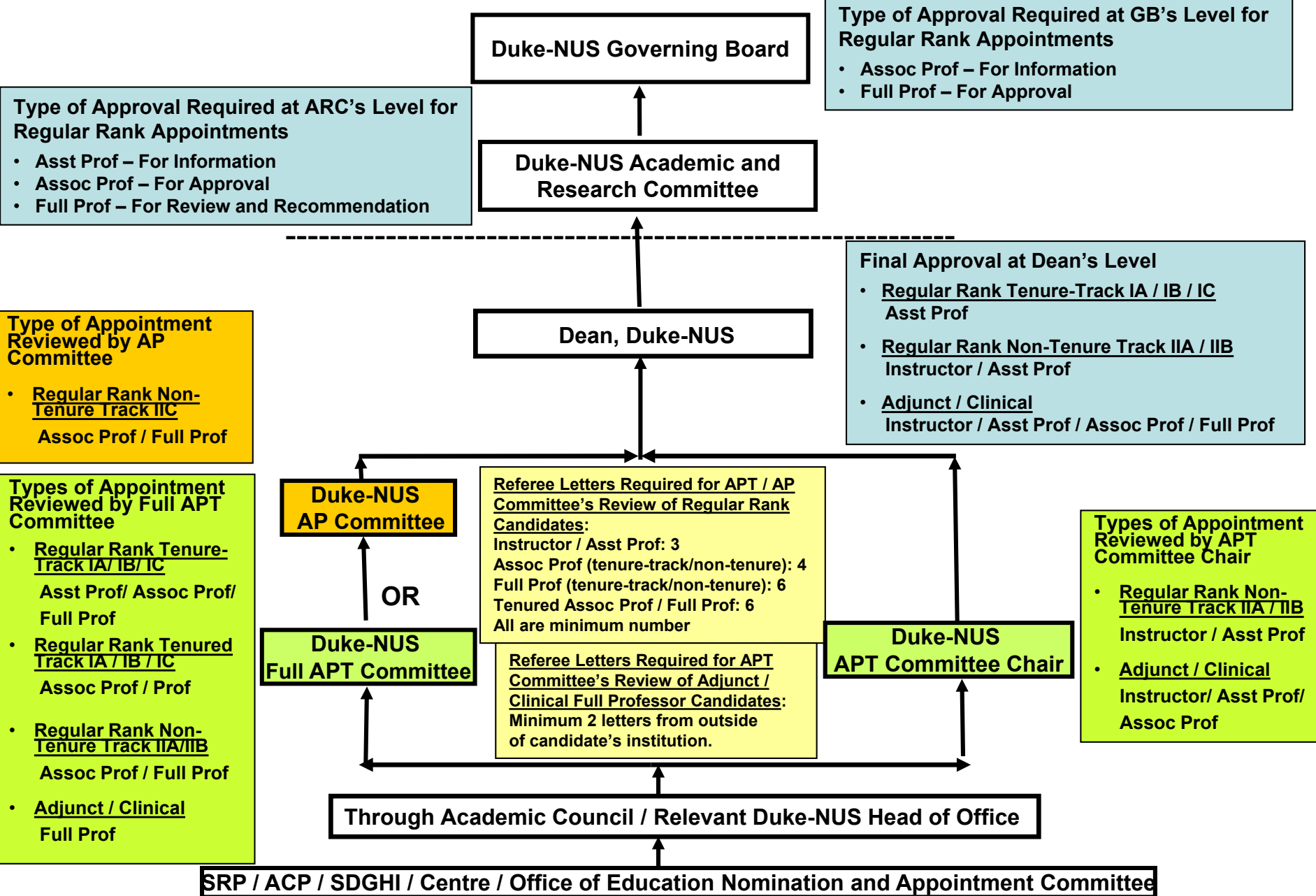
- Generally conferred upon visiting academics (eg. those on sabbatical leave).
- Generally would have four levels: Instructor, Asst Prof, Assoc Prof, full Prof; all preceded by the term “Visiting”; the appointment level should correspond to the level the individual has achieved at their home institution. In addition, special titles such as Visiting Fellow may be used if the individual does not have an academic appointment

## **Annex 1**

at their home institution; e.g. they are coming from a research institute rather than a university, or Distinguished Visiting Professor if the institution wishes to provide an additional honourific.

# DUKE-NUS FACULTY APPOINTMENTS, PROMOTION & TENURE PROCEDURES Annex 2

Revised 14 August 2020



### Annex 3: Academic Homes for Duke-NUS Faculty Appointments

As at 14 August 2020

Faculty Candidate Type	Proposed Faculty Appointment Type at Duke-NUS	Proposed Faculty Tenure Type at Duke-NUS	Candidate's Primary Employer	Faculty Academic Home	Notes
Clinician / PhD Research Investigator	Regular Rank	Tenure-Track / Tenured (Track IA / IB / IC)	Duke-NUS	SRP / Office of Education	1. SRPs, ACPs and Office of Education can propose candidates for the following faculty appointments: (i) Regular Rank; (ii) Adjunct; (iii) Clinical; or (iv) Visiting  2. It is recommended that:  (i) SDGHI and Centres propose candidates for the following faculty appointment types:  a) Adjunct; b) Clinical; c) Joint Regular Rank; or d) Visiting  (ii) PhD research investigators from SingHealth be put up for Regular Rank faculty appointments only.
			SingHealth Institution	ACP	
		Non-Tenure Track (Track IIA / IIB / IIC)	Duke-NUS	SRP / SDGHI / Centre / Office of Education	
			SingHealth Institution	ACP / SDGHI / Centre / Office of Education	
	Adjunct	-	NUS / External Institution (i.e. non-SingHealth)	SRP / ACP / SDGHI / Centre / Office of Education	
		-	External Institution (i.e. SingHealth / non-SingHealth)	SRP / ACP / SDGHI / Centre / Office of Education	
Clinician	Clinical	-	SingHealth Institution	ACP / SDGHI / Centre / Office of Education	Approval to be sought from the Dean for any deviation to the recommendations in points 2(i) and 2(ii).