

Introducing Post-Tenure Review (PTR)  
June 11, 2019



THE UNIVERSITY OF  
**TENNESSEE**  
HEALTH SCIENCE CENTER.

OFFICE OF ACADEMIC, FACULTY,  
AND STUDENT AFFAIRS

Lori S. Gonzalez, PhD, Vice Chancellor of Academic, Faculty and Student Affairs; Chief  
Academic Officer

Cindy Russell, PhD, Associate Vice Chancellor of Faculty Affairs

## GOALS



- Provide a review of the Post-Tenure Review (PTR) policy
- Describe the selection process for faculty who will be reviewed
- Review key elements in the PTR process
- Point out important dates and timelines
- Answer questions about the PTR process




## Review of the Post-Tenure Review Policy

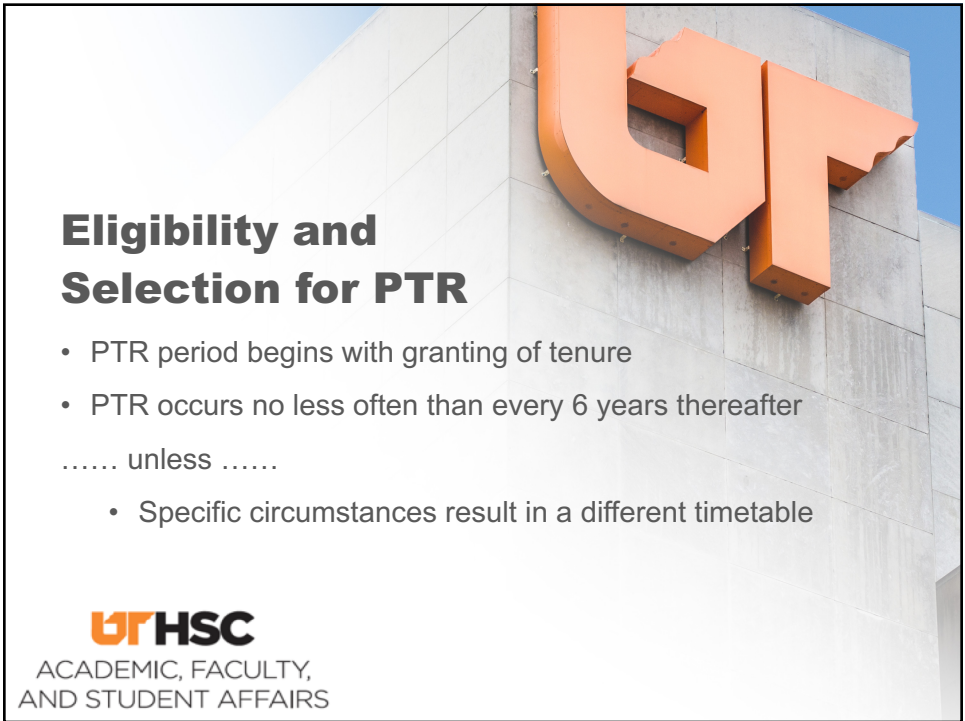
- 2018: UT Board of Trustees –policy
  - All tenured faculty
  - Specific form of comprehensive, enhanced performance review
  - ***No less often than every 6 years*** ... with a few circumstances resulting in a different time frame

**UTHSC**  
ACADEMIC, FACULTY,  
AND STUDENT AFFAIRS

## UTHSC's PTR Policy


- Not yet in the Faculty Handbook
- Posted online until its inclusion in the Handbook  
<http://uthsc.edu/afsa/faculty-affairs/faculty-resources.php>
- Process managed centrally by the Chief Academic Officer to ensure consistency in process across colleges





## Eligibility and Selection for PTR


- PTR period begins with granting of tenure
- PTR occurs no less often than every 6 years thereafter
- ..... unless .....
- Specific circumstances result in a different timetable



ACADEMIC, FACULTY,  
AND STUDENT AFFAIRS

## Circumstances altering PTR Timetable

Leave of absence	<b><u>Suspend</u></b> PTR for that year
Modified duties assignment	
Alternative Comprehensive Review	<b><u>Restart</u></b> PTR from that year
<ul style="list-style-type: none"> <li>• Successful promotion review</li> </ul>	
<ul style="list-style-type: none"> <li>• Promotion in progress</li> </ul>	
<ul style="list-style-type: none"> <li>• Undergoing Enhanced Post-Tenure Performance Review (EPPR)</li> </ul>	



## Circumstances resulting in exemption of PTR

- Full-time administrators and faculty members with a majority administrative appointment ( $\geq 51\%$  administration) are exempted
  - If a full/majority-time administrator leaves the administrative position for their tenured faculty position, the initial PTR occurs within 6 years
- Faculty members holding  $\leq 50\%$  administrative appointment are subject to PTR regarding their faculty duties based on expectations consistent with their faculty duty allocation
- Retirement date accepted, with retirement within 12 months
- Good cause approved by the Chief Academic Officer



## Selection process for this year's PTR

Determine total number of tenured faculty members\*

College	Total Number Tenured
Dentistry	25
Health Professions	23
Graduate Health Sciences	2
Medicine	247
Nursing	6
Pharmacy	29
<b>TOTAL</b>	<b>332</b>

*\*As of Spring, 2019*



### Numbers for selection for 6-year process

If we were to do everyone over a 6-year period, on average how many would we need to do per year?

College	Total Number Tenured	One-sixth/Year
Dentistry	25	4
Health Professions	23	4
Graduate Health Sciences	2	<1
Medicine	247	41
Nursing	6	1
Pharmacy	29	5
<b>TOTAL</b>	<b>332</b>	<b>55</b>



### Numbers for selection this first year

Since this is the first year, start with fewer numbers.

College	Total Number Tenured	One-sixth per Year	First year selection
Dentistry	25	4	2
Health Professions	23	4	2
Graduate Health Sciences	2	<1	0
Medicine	247	41	22
Nursing	6	1	1
Pharmacy	29	5	3
<b>TOTAL</b>	<b>332</b>	<b>55</b>	<b>30</b>



### The Numbers | The Situations

From a base of 332 tenured faculty members, as of 2/2019, we worked with the Faculty Affairs Work Group (FAWG) representatives and pulled official data for each college to determine:

- % administrative assignment by role
- Leaves of absence
- Modified duties assignment
- Accepted retirement date
- Date of departure from any full-time (or majority) administrative role
- Date of tenure
- Date of last promotion
- Any promotion in progress
- Date of any Enhanced Post-Tenure Performance Review (EPPR)



### This left us with...

College	Total Number Tenured	Total Excluded from PTR	Total Eligible for PTR
Dentistry	25	15 (60%)	10 (40%)
Health Professions	23	14 (61%)	9 (39%)
Graduate Health Sciences	2	2 (100%)	0
Medicine	247	89 (36%)	158 (64%)
Nursing	6	4 (67%)	2 (33%)
Pharmacy	29	20 (69%)	9 (31%)
<b>TOTAL</b>	<b>332</b>	<b>144 (43%)</b>	<b>188 (57%)</b>



**As a tenured faculty member, how likely is it that you will be involved with PTR?**

Because this is a review

**OF** tenured faculty members

**BY** tenured faculty members

if you're not selected to be reviewed, there's a high likelihood that you'll be selected to be a reviewer!

55 reviews on a given year

165 reviewers

x 3 members of each PTR Committee

+ 55 reviews

165 reviewers

220 reviewers and faculty

members reviewed if all

were unique



**Key Elements of the PTR Process**

- Appointment/composition of the PTR Committee
- Materials to be reviewed by the PTR Committee
- Special circumstance: external reviews
- Criteria for PTR
- PTR Committee's conclusions and report
- Further Actions, when required
- Faculty member's appeal



ACADEMIC, FACULTY,  
AND STUDENT AFFAIRS

### Appointment of PTR Committee

- Faculty member and Department Chair nominate
- Faculty member can ask that one (1) nominee from the chair’s list be removed
- Chief Academic Officer (CAO) appoints

Required characteristics of nominees to serve on a faculty member’s PTR Committee	Faculty Member’s Nominees			Department Chair’s Nominees					
	Nominee #1	Nominee #2	Nominee #3	Nominee #1	Nominee #2	Nominee #3	Nominee #4	Nominee #5	Nominee #6
Tenured?									
Full-time?									
Same or higher rank than faculty member being reviewed?									
Locus of tenure at UTHSC?									
Have sufficient expertise in the field of and/or similarity of activities to the faculty member being reviewed?									
Not related to faculty member being reviewed?									

Light green shading indicates nominee from within the division/department  
 Light orange shading indicates nominee from outside the division/department



### Composition of PTR Committee

- CAO ensures the following requirements are met.

Faculty member under review is in a department that does not have recognized divisions	Faculty member under review is in a department with recognized divisions (College of Medicine-specific)
One and only one PTR Committee member must hold an appointment in the same department Unless there is no such faculty member eligible to serve, in which case this PTR Committee member must come from the college	One and only one PTR Committee member must hold an appointment in the same division Unless there is no such faculty member eligible to serve, in which case this PTR Committee member must come from the department – provided no other PTR Committee members may hold an appointment in the same division
At least one PTR Committee member must hold an appointment in a different department, but from the same college	At least one PTR Committee member must hold an appointment in a different division, but from the same college
The final PTR Committee member may hold an appointment in a different college. If this PTR Committee member is in the same college, they must hold an appointment in a different department.	
For purposes of PTR Committee membership, College of Medicine basic science and clinical departments are considered as different colleges.	
One of the three PTR Committee members must be selected from the faculty member’s list of nominees.	





## **PTR Committee is Required to Review**

### **A. Materials to be supplied by the Department Chair (or Division Chief, if relevant):**

1. Annual performance and planning reviews – to include evaluations and ratings – for each year of the last six (6) years
2. Student evaluations of teaching for each year of the last six (6) years
3. Any peer evaluations of teaching for each year of the last six (6) years

### **B. Materials to be supplied by the faculty member under review:**

1. Current CV
2. A narrative, not to exceed two (2) pages, prepared by the faculty member that describes:
  - a. The faculty member's milestone achievements and accomplishments for each of the last six (6) years
  - b. Goals for the next PTR review period

### **C. If deemed necessary by the PTR Committee or the Chief Academic Officer, or when requested by the faculty member under review:**

1. External reviews



## **Special Circumstance: External Reviews**

- May be requested by any member of the PTR Committee, CAO, or the faculty member
- Expected to be used rarely
- May be requested when sufficient expertise is lacking among PTR Committee members
- Specific procedure to be followed, in the rare event that external reviews are deemed necessary or requested
  - PTR Committee Chair manages the request and works with faculty member
  - Specific qualifications for external reviewers noted in the PTR policy
  - Standard letter and materials that are sent to external reviewers
- All letters solicited and received must be included in the PTR Committee's report



**Criteria for PTR:** *The post-tenure review process should ensure the faculty member has demonstrated continued professional growth and productivity in the areas of teaching, research (including creative and other scholarly activities), service, and/or clinical care pertinent to his or her faculty responsibilities.*

**Criteria for assessing performance** must:

- be consistent with **established expectations** of the division, department, and college
- provide **sufficient flexibility** to consider changes in academic responsibilities and/or expectations

**Expectations:**

- May differ by college, department, and even among sub-disciplines within a department or program
- May be commonly-held standards in the discipline or sub-discipline
- May be stated in the faculty member's own six (6) past annual performance reviews, work assignments, goals or other planning tools (however identified), as well as department or college bylaws, the UTHSC Faculty Handbook, the PTR policy, and in other generally-applicable policies and procedures (fiscal, HR, safety, research, ITS).



### **PTR Committee's Conclusions and Report**

Charged with:

- reviewing faculty member's performance during the six-year period of review
- concluding whether the faculty member's performance satisfies OR does not satisfy the expectations for the faculty member's discipline and academic rank

Must also conclude for the six annual performance reviews either:

- That they satisfy the expectations of being reasonable, fair, accurate and high quality
- They do not satisfy the expectations of being reasonable, fair, accurate and high quality

Using a standard template, prepared by the CAO's office, the committee must report its conclusions, supporting reasons for the conclusions, and recommendations.

The report must be provided to the faculty member, division chief (if relevant), department chair, dean, and CAO. All may provide a written response to the CAO.



## Further Actions, When Required

If the **faculty member's performance** has not satisfied the expectations for the faculty member's discipline and rank, a PTR Improvement Plan is required.

- Developed using the same procedures as the EPPR Improvement Plan
- Evaluated quarterly for a minimum of four quarters and at the faculty member's next annual performance review

If deficiencies are found to exist in the **departmental annual performance review process** (including failure to conduct rigorous annual performance reviews) OR if other incongruences are observed between the PTR performance review and rankings assigned through the annual performance review process, the CAO must develop a process for addressing the issues.



## Faculty Member's Appeal, if any

Must be submitted within thirty (30) days of the faculty member's receipt of the PTR Committee report

May appeal any conclusion about which the faculty member disagrees

Use the appeal process described in Section 7 of the Faculty Handbook

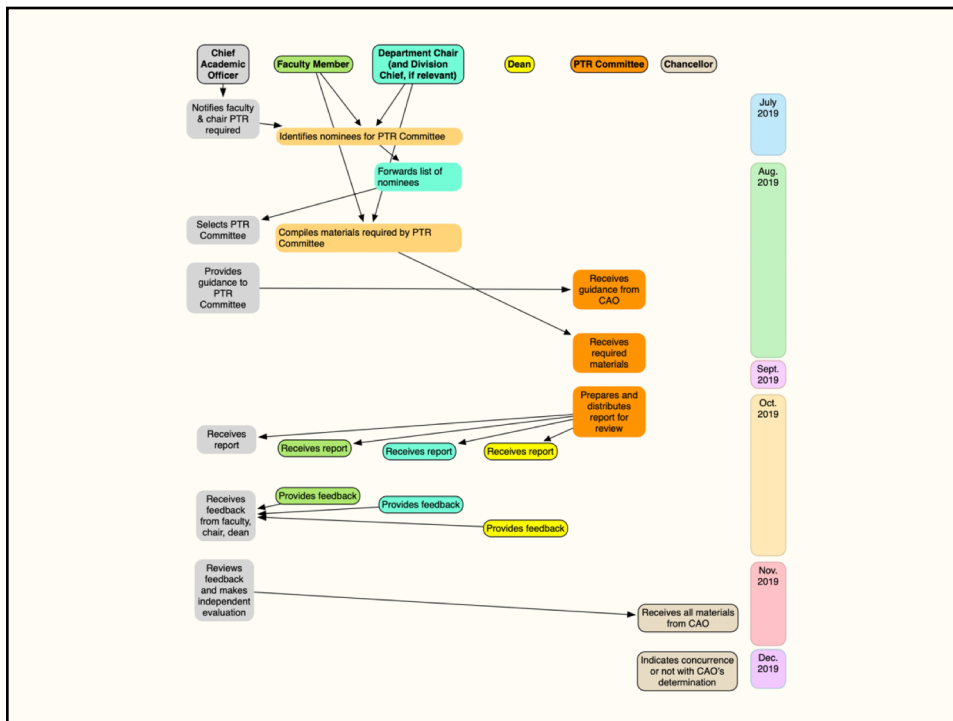
The Chancellor's final decision on the appeal shall be made within ninety (90) days of the faculty member's appeal

The final decision of the Chancellor on an appeal stands and is not appealable to the President.



## Important Dates and Timelines

- Usual process unfolds between July 1 and December 31
- Alternate timelines when:
  - External review is required
  - A PTR Improvement plan is required



**Questions?**

**Resources:**

Website

<http://uthsc.edu/afsa/faculty-affairs/faculty-resources.php>

Blackboard Organization (coming soon)

PTR: Post-Tenure Review (currently populating site)



ACADEMIC, FACULTY,  
AND STUDENT AFFAIRS