





OBJECTIVES 

- Provide clarity to the broader P&T process
- Describe levels of the processes
- Point out relevant policies and procedures
- Review key elements in the processes
- Illustrate useful resources
- Note strategies for staying informed through the processes

IMPORTANT 

This session is **NOT** a substitute for talking with others, including:

- Department chair
- Senior faculty in your department or college
- Chairs or longstanding members of department or college P&T committees

This session is a **high-level review** of the processes, relevant documents guiding the processes, and useful resources.

- Colleges may, and do, establish more specific criteria for P&T.

Don't just rely on the words we say:

- Read it for yourself (references throughout to easily accessible and relevant material)
- Talk to others who've been through the process
- Talk with your department chair, the chairs of departmental and/or college P&T committees, and senior faculty

Ask questions anytime.

Before we start ...

A few words from
Dr. Lori Gonzalez
Vice Chancellor of Academic,
Faculty and Student Affairs

aka – Chief Academic Officer

Review of 2019 Recommendations and Comparison to Prior Years

<http://uthsc.edu/institutional-effectiveness/factbook.php>

THIS YEAR'S DATA 

Promotions

- 14 – Assistant Professor Recommendations
- 58 – Associate Professor Recommendations
- 24 – Professor Recommendations

Tenure

- 17 – Tenure Recommendations
- 3 of the 17 were recommendations for Expedited Tenure
- 4 of the 17 were recommendations for Early Tenure
 - 2 were one year early
 - 2 were for more than one year prior to the end of the probationary period

Tenure and Promotion

- 7 recommendations for simultaneous promotion AND tenure

COMPARISON WITH PRIOR YEARS 

- **Notable**
 - 14% increase from last year in # of all positive recommendations
 - 46% increase from 7 years ago in # of all positive recommendations
 - 32% increase from last year in positive recommendations for promotion
 - 567% increase from last year in negative recommendations for promotion
- **Also notable**
 - The highest average number of years in present rank for positive tenure recommendations – to be expected, given the Board of Trustees' requirement for a mandatory 6-year probationary period for tenure
 - The second highest number of years in present rank for positive promotion recommendations – reflective of faculty staying in rank longer and not going up early for promotion

NEW IN 2018 

- Revised UTHSC Faculty Handbook, August 2018
- Revised Board of Trustees Policies on Academic Freedom, Responsibility, and Tenure, March 2018
- Additional specifics for letters
- Peer review of teaching for tenure candidates, effective for this 2019-2020 tenure cycle
- Anonymous voting, esp. for matters of tenure and promotion

Important additional item from 2018

- Informing candidate along the path of the status of recommendations going forward

GUIDING DOCUMENTS FOR PROMOTION AND TENURE 

- **Board of Trustees Policies Governing Academic Freedom, Responsibility and Tenure** <https://university.tennessee.edu/policytech.com/docNet/documents/?docid=489&public=true>
- **UTHSC Faculty Handbook**
 - Appendix N: Promotion + Section 6 in the UTHSC Faculty Handbook
 - Appendix L: Tenure + Section 4 in the UTHSC Faculty Handbook
 - Section 4.11.2.1: External Reviews
- **AFSA Website** <http://uthsc.edu/afsa/faculty-affairs/faculty-resources.php>
 - Metric Scoring System for Promotion
 - Promotion and Tenure portion of the website
 - Faculty Evaluation Calendar
- **Faculty Handbook and College Bylaws** <https://uthsc.collegemedical.net/policy/med>
 - Click *Policies and Procedures* then the title

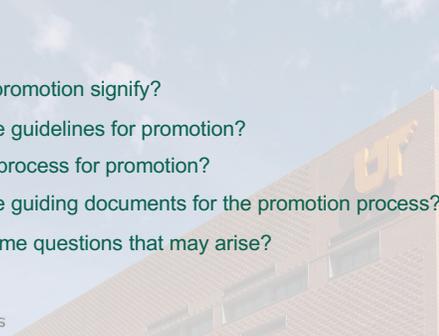
ADHERING TO REQUIRED PROCESSES 

- **Requirements specified in the guiding documents**
- **Responsibilities at all levels of the process are consequential.**
 - Local/department level – Department Chair and, if relevant, Division Chief.
 - College level – Dean and FAWG representative for the college.
 - Campus level – Chief Academic Officer and Associate Vice Chancellor.
 - UT System level – President's Office and General Counsel's Office.
 - Each chair and member of a departmental or collegiate P&T Committee.

Promotion

- What does promotion signify?
- What are the guidelines for promotion?
- What is the process for promotion?
- What are the guiding documents for the promotion process?
- What are some questions that may arise?


ACADEMIC, FACULTY,
AND STUDENT AFFAIRS



PROMOTION SIGNIFIES 

- An acknowledgement of past achievement
- An expression of confidence that you will:
 - Continue to provide meritorious service
 - Assume increasing campus responsibilities

Important note:
Promotion is not automatically granted because of your longevity or time in rank/place/department/activity.

Resource: UTHSC Faculty Handbook, Section 6.7 & Appendix N

PROMOTION GUIDELINES (IN GENERAL) 

- Same as for appointment to various ranks (FHB §6.1)
- Evaluated similarly to the annual faculty evaluation (FHB Appendix J)
- Looking for **SUSTAINED CONTRIBUTIONS** (individual efforts) in your assigned areas (FHB §6.7)
- Expectations for functioning as part of a departmental team and demonstrating **COLLEGIALITY** (FHB §6.7)
 - Accept assignments, perform service, attend functions, actively participate in community-based service projects
 - Demonstrate ability to relate, cooperate and interact well with peers

Resource: UTHSC Faculty Handbook, Sections 6.1 and 6.7, Appendices J and N and the Promotion Metric

PROMOTION PROCESS 

- Meet the specific minimum career-track requirements of the rank to which you are seeking promotion, including length of time in rank
- Achieve the expected points for promotion to rank as evidenced by the Promotion Metric Matrix

Resource: UTHSC Faculty Handbook, Section 6.7, Appendix N and the Promotion Metric

PROMOTION TO ASSISTANT PROFESSOR 

Minimum career-track requirements

Depending on the distinctive requirements contained in the letter of appointment, typically expected to:

- Hold the doctorate/terminal degree
- Demonstrate **potential for excellence** in teaching, research/creative and/or scholarly activity, service, and patient care, when applicable
- Demonstrate an ability to relate effectively to students or professional colleagues
- Be board certified when applicable

Resource: UTHSC Faculty Handbook, Section 6.1.2

PROMOTION TO ASSOCIATE PROFESSOR 

Minimum career-track requirements

Depending on the distinctive requirements contained in the letter of appointment, typically expected to:

- Hold the doctorate/terminal degree
- Demonstrate **significant contributions** as a teacher, researcher and/or scholarly or professional attainment, to patient care (when applicable) and to service – with a strong likelihood of continuing effectiveness
- Demonstrate an ability to relate effectively to students or professional colleagues
- Participate actively in professional associations
- **Have held the rank of Assistant Professor @ UTHSC or other reputable academic institutions for at least 4 years** (earlier promotions may be recommended in exceptional cases)
- Be board certified when applicable

Resource: UTHSC Faculty Handbook, Section 6.1.3

PROMOTION TO PROFESSOR 

Minimum career-track requirements

Depending on the distinctive requirements contained in the letter of appointment, typically expected to:

- Hold the doctorate/terminal degree
- Demonstrate **a clear and convincing record of a high level of sustained effectiveness** as a teacher, in research and/or scholarly activity, in service, and in patient care, when applicable
- Demonstrate an ability to relate effectively to students or professional colleagues
- Have a national or international reputation in the discipline
- **Have held the rank of Associate Professor @ UTHSC or other reputable academic institutions for at least 5 years** (earlier promotion may be recommended in exceptional cases)
- Be board certified when applicable

Resource: UTHSC Faculty Handbook, Section 6.1.4

PROMOTION METRIC MATRIX/GRID 

The Promotion Metric Matrix is a structured instrument allowing for systematic assessment of a candidate's contributions across the mission areas

- It helps you assess your readiness for promotion

For each of the years since the last promotion, or since appointment, candidates provide details as to:

- Percent effort devoted to each assigned mission area
- Details of contributions made in each assigned mission area

Scores are derived by:

- Departmental Promotion and Tenure Committee
- College Promotion and Tenure Committee

Resource: UTHSC Faculty Handbook, Appendix N And UTHSC Scoring System for Promotion (online)

METRIC GRID: TEACHING COMPONENT 

a. Course leadership
Examples: Course director, Clerkship coordinator, Residency training director; other teaching duties e.g. student or resident teaching in clinical or practice setting, classroom or online education, laboratory teaching; Research mentor/member of thesis or research oversight committee; Student advising

b. Acknowledged excellence in teaching
Examples: Student or peer evaluations, Teaching honors and awards, Awards to students mentored by faculty

c. Innovation in teaching
Examples: Major course revisions, Curriculum redesign, Introduction of new technologies in the teaching setting Resource: UTHSC Scoring System for Promotion (online)

METRIC GRID: RESEARCH/SCHOLARLY ACTIVITY COMPONENT 

a. Publications
Examples: Peer-reviewed and non peer-reviewed articles in professional journals, textbooks, book chapters, health care articles for the lay press

b. Extramural funding
Examples: Grants from federal agencies (NIH, NSF, AHRQ, etc.), foundations/institutes, pharmaceutical companies, training grants, interprofessional/educational grants, contracts, etc.

c. Other scholarly activities
Examples: Manuscripts under review, invited lectures, patents, licensing agreements, presentations at major meetings/grant rounds/local or regional societies/special interest groups, service on editorial boards (count once for research or service) Resource: UTHSC Scoring System for Promotion (online)

METRIC GRID: CLINICAL CARE COMPONENT 

a. Productivity/patient load
Examples: Meets RVU targets and other clinical care goals with respect to patient and procedure numbers and numbers of clinic sessions per week, etc.

b. Quality/Patient Satisfaction
Examples: Results from evaluations at practice setting, by peers/other health care providers, by chart reviews, etc.

c. Professional recertification/enhancement of knowledge base for clinical care
Examples: Acquires and maintains board certification/licensure

Resource: UTHSC Scoring System for Promotion (online)

METRIC GRID: SERVICE COMPONENT 

a. Institutional service
Examples: Serves on system, Health Science Center, College, and/or Department committees; provides continuing education programs; coordinates seminar programs or searches

b. Professional service
Examples: Participates in service organizations or professional societies; serves on editorial boards or as a reviewer for journals or funding agencies

c. Community service/outreach
Examples: Local presentations, local outreach activities and/or delivery of community health initiatives, provides free clinical care (health fairs)

Resource: UTHSC Scoring System for Promotion (online)



Promotion Metric Matrix/Grid

- Each of the 4 component areas (teaching, research/scholarly activity, clinical care, service) has 3 categories
- For each component area that you have assigned percent effort, you get a score from 0 to 3 on each of the 3 elements in each category
- Look forward to completing one of these at each year's Annual Performance and Planning Review

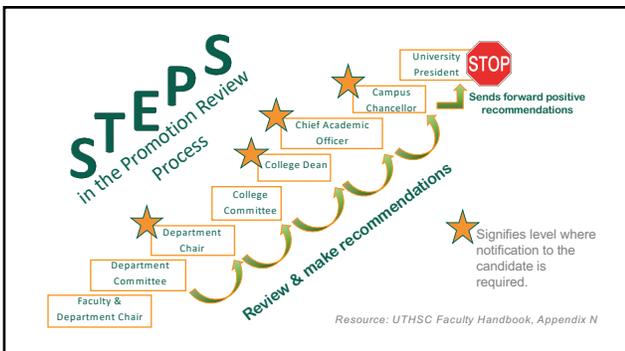
Resource: UTHSC Faculty Handbook, Appendix N And UTHSC Scoring System for Promotion (online)

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Promotion Dossier (additional information)

- Sample publications or products of scholarship
- Summaries of student teaching evaluations or peer evaluations of teaching by colleagues
- Letters of evaluation – important guidelines affecting promotion as well as tenure candidates
 - We'll talk about these in a bit

Resource: UTHSC Faculty Handbook, Section 4.11.2.1 and Appendix N



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Promotion Guiding Documents

- Always the UTHSC Faculty Handbook
 - Section 4.11.2.1 for letters of evaluation
 - Section 6
 - Appendix N
- UTHSC Scoring System for Promotion (posted online)
- College bylaws
- AFSA Website – <http://www.uthsc.edu/afsa/faculty-affairs/faculty-resources.php>

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Questions that often arise regarding Promotion

- Can (or should) {this person} write a letter of reference for me?
- How are changes in percent effort allocation handled in promotions? How is time assessed in each mission area when it may change yearly?
- What if I want to go up for promotion but my chair doesn't think I'm ready?
- Who is responsible for me being promoted?

LETTERS OF EVALUATION **UTHSC**

Internal vs External Evaluators

- Internal – employed by or affiliated with the college, UTHSC, or UTHSC's affiliated institutions
- External – not employed by or affiliated with UTHSC or UTHSC's affiliated institutions
- Some of our larger affiliated institutions (not a complete list) include: Methodist LeBonheur Healthcare, St. Jude Children's Research Hospital, Veteran Affairs Medical Center, St. Thomas Healthcare (Nashville), Erlanger (Chattanooga), UT Medical Center (Knoxville)

Resource: UTHSC Faculty Handbook, Section 4.11.2.1

LETTERS OF EVALUATION **UTHSC**

General requirements for all evaluators

- If tenure recommendation: Must be at or above candidate's current rank AND hold tenure (or equivalent)
- If promotion recommendation: Must be at or above rank to which candidate aspires to be promoted
- No conflict of interest
- No professional/personal relationship affecting objectivity

General requirements for external evaluators

- Distinguished individual in candidate's field
- In position to provide assessment & significance of current & projected contributions

Minimum number of required letters

College bylaws may specify more than the required number or additional general criteria for identification of evaluators

Resource: UTHSC Faculty Handbook, Section 4.11.2.1

Tenure

- What does tenure signify?
- What are the general criteria for tenure?
- What is the process for tenure?
- What are the guiding documents for the tenure process?
- What are some issues that may arise?

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Tenure signifies

- An acknowledgement of reasonable presumption of your professional excellence as reflected in your teaching, research, and service¹
 - Professional excellence includes your ability to interact appropriately with colleagues and students
- A judgement of the likelihood that your professional excellence will contribute substantially over a considerable period of time to the mission and anticipated needs of the academic unit in which tenure is granted

¹ The Board of Trustees includes professional/clinical service responsibilities in the area of service.

Resource: UTHSC Faculty Handbook, Section 4.11; Board of Trustees Policies Governing Academic Freedom, Responsibility and Tenure

GENERAL CRITERIA FOR TENURE

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- The basic criterion for tenure at UTHSC is fulfilling the distinctive requirements established in writing by the department for the faculty position.
 - Look at your initial appointment letter.
- The minimum criteria for a positive recommendation for the award of tenure at UTHSC include the following:
 - Fulfilling the distinctive requirements established in writing by the department for the faculty position
 - Possessing a record of academic achievement at UTHSC that strongly indicates that his or her performance as a tenured faculty member will meet the expectations and goals of the department throughout his/her future academic career

Resource: UTHSC Faculty Handbook, Section 4.11

MORE SPECIFIC CRITERIA FOR TENURE 

Colleges and departments may establish more specific criteria for tenure in the unit.

- How do you find out what these are?
 - Review college bylaws
 - Talk with department chairs
 - Talk with faculty members on departmental P&T committees
 - Talk with senior faculty members
 - Talk with college faculty affairs representatives

Resource: UTHSC Faculty Handbook, Section 4.11

THE TENURE PROCESS: PROBATIONARY PERIOD 

On appointment, a probationary period is established and recorded on the initial appointment letter and the Faculty Appointment Agreement.

4.11.1 A probationary period @ UTHSC is six years.

Probationary periods may be:

- **Extended** – typically for no more than 2 years; an example would be for unforeseen difficulties getting research established; requires approval of UT President (or designee) and UT General Counsel (or designee).
- **Suspended** – when a faculty member accepts a part-time position or an administrative position, or if a faculty member is granted a leave of absence or **4.11.2** modified duties assignment; requires approval of Chief Academic Officer.

Resource: UTHSC Faculty Handbook, Section 4.8

EXTENSION AND SUSPENSION OF THE PROBATIONARY PERIOD 

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THE TENURE PROCESS: **MANDATORY INTERIM PROBATIONARY REVIEW** 

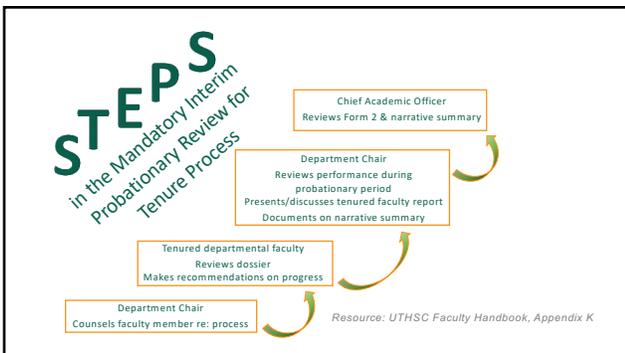
- Departmental tenured faculty and Chair
- Conduct an enhanced review
- Assess and inform faculty member of progress toward tenure

Note:

- Done during the 3rd or 4th year of probationary period
- **Note:** the year in which it is conducted is determined in the chair's sole discretion

Length of Probationary Period (as on initial appointment letter)	Year in which mandatory review should occur
4 years	2 nd year
5, 6, or 7 years	3 rd year

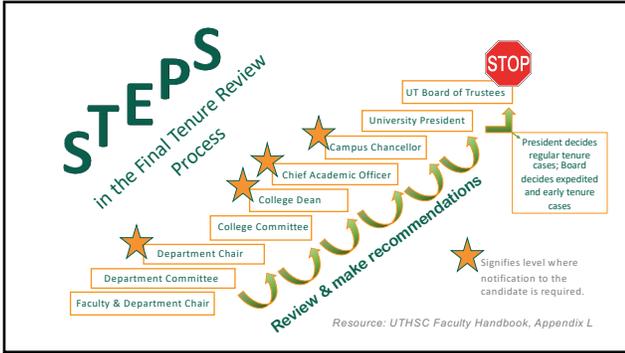
Resource: UTHSC Faculty Handbook, Section 4.14.3.3, Appendix K



THE TENURE PROCESS: **AFTER THE MANDATORY INTERIM PROBATIONARY REVIEW** 

- Use information from interim review to structure remainder of time until final probationary review
- Refine the tenure dossier
 - Current CV in UTHSC format
 - All appointment/re-appointment letters
 - Annual accomplishments and goals
 - Summaries of Annual Performance and Planning Reviews
 - Interim Probationary Review documents
- Additional items that can be included:
 - Sample publications
 - Summaries of student teaching evaluations
 - Peer evaluations – required for final tenure reviews scheduled for June 30, 2020
 - Letters of evaluation

Resource: UTHSC Faculty Handbook, Section 4.8, Appendix L



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Tenure Guiding Documents

- Always the UTHSC Faculty Handbook
 - Section 4
 - Appendices K and L
- Board of Trustees Policies
- College bylaws
- AFSA Website – <http://www.uthsc.edu/afsa/faculty-affairs/faculty-resources.php>

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Questions that often arise regarding Tenure

- Can (or should) {this person} write a letter of reference for me?
- What if I want to go up for early tenure but my chair doesn't think I'm ready?
How about if my chair is supportive of my early tenure? What's this *exceptional request* and additional justification that's required?
- On the other hand, what about if I'm at the time I'm supposed to have my final probationary review for tenure and I'm still not ready? What are my options?
- Who is responsible for me getting tenured?



The Annual Performance and Planning Review (APPR)

- We've touched repeatedly on the APPR – make it count
- If on tenure track, APPR is required to have a narrative about your progress towards tenure – demand a clear narrative
- Percent effort in each mission area counts – especially in promotion
- The APPR is annual – talk with your department chair more frequently than that



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Checklists for Tenure and Promotion

General P&T Checklist

Tenure Upon Hire – aka: Expedited Tenure or Tenure Upon Initial Appointment

Early Tenure – recommendation for tenure prior to the candidate serving the full six-year probationary period

Early Promotion – recommendation for promotion to:

- Associate Professor prior to having served 4 years in rank or
- Professor prior to serving 5 years in rank
- See UTHSC Faculty Handbook, Section 6.1.3: Associate Professor and 6.1.4: Professor

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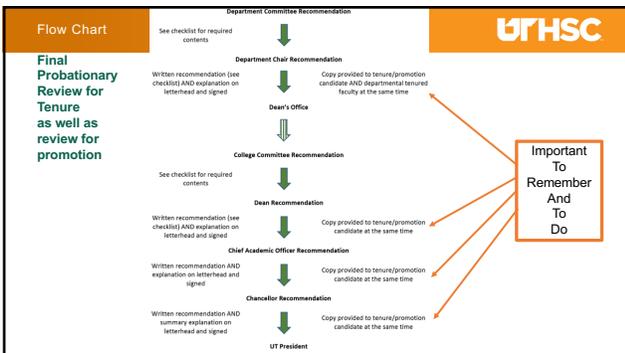
Documenting Compelling Reasons for Recommendations for Early Tenure and/or Promotion

How does this faculty member compare to other faculty members in the department and/or college?

How has this faculty member exceeded their annual goals and assignments and/or their expectations as set forth in their appointment letter?

What has been the faculty member's impact – division/department, college, university, system, outside of UT/UTHSC?

How has this faculty member elevated their stature and the stature of the department and college?



Other Items of Note

- **Peer Review of Teaching**
 - Required for all faculty members undergoing final probationary review for tenure.
 - Colleges have a bridging procedure for 2019-2020. Then include in college bylaws for 2020-2021 and beyond.
- **Student Evaluations of Teaching**
 - Increasingly important for tenure, promotion, post-tenure review.



In closing ...

- Start with your goals
- Create systems to support your goals
- Use your goals to make automatic decisions
- Believe in yourself and keep going
- Remember that sometimes you'll need to alter your path
- Be collegial
- Ask for help when you need it
- Know time frames and timing

Questions?

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Remember:
don't take just our words for it!
Talk with your department chair,
committee chairs, senior faculty,
& college faculty leaders.
