Welcome to UTHSC’s 2019 Tenure and Promotion Session

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

<table>
<thead>
<tr>
<th>Promotions</th>
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<tbody>
<tr>
<td>• 14 – Assistant Professor Recommendations</td>
<td></td>
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<tr>
<td>• 58 – Associate Professor Recommendations</td>
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<td>• 24 – Professor Recommendations</td>
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<table>
<thead>
<tr>
<th>Tenure</th>
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<tr>
<td>• 17 – Tenure Recommendations</td>
<td></td>
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<tr>
<td>• 3 of the 17 were recommendations for Expedited Tenure</td>
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<td>• 4 of the 17 were recommendations for Early Tenure</td>
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<td>• 2 were one year early</td>
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<td>• 2 were for more than one year prior to the end of the probationary period</td>
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<table>
<thead>
<tr>
<th>Tenure and Promotion</th>
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<tr>
<td>• 7 recommendations for simultaneous promotion AND tenure</td>
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### 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://universitytennessee.policytech.com/dotNet/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
- APSA 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.policymedical.net/
  - 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?
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 H 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 promotions 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, AHRO, 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**

<table>
<thead>
<tr>
<th>a. Productivity/patient load</th>
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<tr>
<td>Examples: Meets RVU targets and other clinical care goals with respect to patient and procedure numbers and numbers of clinic sessions per week, etc.</td>
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<table>
<thead>
<tr>
<th>b. Quality/Patient Satisfaction</th>
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<tr>
<td>Examples: Results from evaluations at practice setting, by peers/other health care providers, by chart reviews, etc.</td>
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<table>
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<tr>
<th>c. Professional recertification/enhancement of knowledge base for clinical care</th>
<th></th>
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<tbody>
<tr>
<td>Examples: Acquires and maintains board certification/licensure</td>
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**METRIC GRID: SERVICE COMPONENT**

<table>
<thead>
<tr>
<th>a. Institutional service</th>
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<tbody>
<tr>
<td>Examples: Serves on system, Health Science Center, College, and/or Department committees; provides continuing education programs; coordinates seminar programs or searches</td>
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</table>

<table>
<thead>
<tr>
<th>b. Professional service</th>
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<tr>
<td>Examples: Participates in service organizations or professional societies; serves on editorial boards or as a reviewer for journals or funding agencies</td>
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<table>
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<tr>
<th>c. Community service/outreach</th>
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<tr>
<td>Examples: Local presentations, local outreach activities and/or delivery of community health initiatives, provides free clinical care (health fairs)</td>
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**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)
PROMOTION TABLE

<table>
<thead>
<tr>
<th>Current Rank</th>
<th>Proposed Rank</th>
<th>Minimum # of years in current rank</th>
<th>Minimum score on Promotion Metric Matrix</th>
<th>Intangibles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructor</td>
<td>Assistant Professor</td>
<td>None specified</td>
<td>- 3.5 points w/o clinical practice • 4.0 points with practice responsibilities</td>
<td>1. Loyalty 2. Enthusiasm 3. Courtesy 4. Cooperativeness 5. Dedication to: • Department • College • University</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>Associate Professor</td>
<td>4 ¹</td>
<td>6.0²</td>
<td></td>
</tr>
<tr>
<td>Associate Professor</td>
<td>Professor</td>
<td>5 ¹</td>
<td>7.5³</td>
<td></td>
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</tbody>
</table>

¹ in rank at UTHSC or other reputable academic institution ²Expectations for minimum level of accomplishment

Promotion Dossier (minimum)

• A comprehensive document that contains detailed information about you, your activities, your evidence for promotion
• CV – just one part of the dossier (please make sure it’s in the UTHSC format)
• Annual accomplishments and goals for the period related to the promotion (so, since your appointment or last promotion)
• Summaries of Annual Performance & Planning Reviews
• Percent effort allocation for the period

Resource: UTHSC Faculty Handbook, Appendix N
**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
**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**

**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)

**LETTERS OF EVALUATION**

**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*
Required Qualifications of Internal and External Evaluators by Proposed Promotion/Tenure Recommendations

NTT=Non-tenure track
TT=Tenure track
T=Tenured
Prof.=Professor

Selection of evaluators
- Candidate and chair separately create a list of names
- Mutual agreement as to evaluators
- If unable to obtain mutual agreement, departmental faculty will decide
- When possible, solicit external letters from individuals at:
  - UTHSC’s peer institutions
  - An outside institution similar to UTHSC (e.g., academic health science center or research-intensive institution)

Soliciting letters of evaluation
- The individual responsible for this process at the collegiate level is the person who is required to solicit the letters and receive submitted letters
- Specific details regarding solicitation of letters are in the Faculty Handbook

UDO’s Peer Institutions

Comparable Peer Institutions
- University of Oklahoma Health Sciences Center
- Medical University of South Carolina
- University of Texas Health Science Center @ San Antonio
- Texas Tech University Health Science Center @ Lubbock
- University of Nebraska Medical Center
- University of Arkansas for Medical Sciences
- Louisiana State University Health Sciences Center @ New Orleans

Aspirational Peer Institutions
- University of Maryland – Baltimore
- Oregon Health and Sciences University
- University of Texas Health Science Center @ Houston

https://uthsc.edu/institutional-effectiveness/peer-institutions.php
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?

Tenure signifies
• An acknowledgement of reasonable presumption of your professional excellence as reflected in your teaching, research, and service.
  • 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.

GENERAL CRITERIA FOR TENURE
• 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; Board of Trustees Policies Governing Academic Freedom, Responsibility and Tenure.

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

- 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 modified duties assignment; requires approval of Chief Academic Officer.

Resource: UTHSC Faculty Handbook, Section 4.8

EXTENSION AND SUSPENSION OF THE PROBATIONARY PERIOD

<table>
<thead>
<tr>
<th>Required</th>
<th>Extension</th>
<th>Suspension</th>
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<tbody>
<tr>
<td>1 2 3 4 5 6</td>
<td>1 2 3 4 5 6 7 8</td>
<td>1 2 3 4 5 6</td>
</tr>
</tbody>
</table>

6 years on tenure track

8 years on tenure track

6 years on tenure track

2 years suspended
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

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

<table>
<thead>
<tr>
<th>Length of Probationary Period</th>
<th>Year in which mandatory review should occur</th>
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<tbody>
<tr>
<td>4 years</td>
<td>2nd year</td>
</tr>
<tr>
<td>5, 6, or 7 years</td>
<td>3rd year</td>
</tr>
</tbody>
</table>

Resource: UTHSC Faculty Handbook, Section 4.14.3.3, Appendix K

STEPS in the Mandatory Interim Probationary Review for Tenure Process

Chief Academic Officer
Review Form 2 & narrative summary

Department Chair
Review performance during probationary period
Presents/discusses tenured faculty report
Documents on sensitive summary

Tenured departmental faculty
Reviews dossier
Mentor recommendations on progress

Tenured departmental faculty
Reviews dossier
Mentor recommendations on progress

Resource: UTHSC Faculty Handbook, 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
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

Preparing for Success in the 2019-2020 Promotion and Tenure Cycle

We all have rules to follow …

Checklists for Tenure and Promotion

General P&T Checklist

Tenure Upon Hire – a/b: 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
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?

Flow Chart

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?

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

Contact:
Cindy Russell | crussell@uthsc.edu | 901-448-6158
Lori Gonzalez | lsgonz01@uthsc.edu | 901-448-4930