

Documents Required for Promotion and Tenure With Definitions and Details

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| <p>Promotion:</p> <ul style="list-style-type: none"> • CV dated and in UT format • Other documents the faculty wishes to include • Letters of Evaluation, a.k.a. reference letters • Letters of Evaluation Summary Sheet; (administrative form) • Peer-Review of Teaching – 2 reviews required • Annual Evaluations for last 5 years if candidate is already tenured or tenure-track • Department P&T Committee letter with vote • Department Promotion Metric Sheet • Chair Letter – Must cc: Faculty; Dept P&T Chair • Department-Generated Form 5; UTHSC administrative form • College P&T Committee letter with vote • College Promotion Metric Sheet • Dean letter | <p>Tenure:</p> <ul style="list-style-type: none"> • CV dated and in UT format • Other documents the faculty wishes to include • Letters of Evaluation, a.k.a. reference letters • Letters of Evaluation Summary Sheet; (administrative form) • Peer-Review of Teaching – 2 reviews required • Annual Evaluations for all years while on tenure track • Offer and Appointment Letters at time of hire • Reappointment letters since appointment on tenure-track • Interim (mid-tenure) probationary review • Department P&T Committee letter with vote • Chair Letter – Must cc: Faculty; Dept P&T Chair • Department-Generated Form 5; UTHSC administrative form • College P&T Committee letter with vote • Dean letter |
| <p>Early Promotion: <u>All documents above</u> for regular “Promotion”, plus</p> <ul style="list-style-type: none"> • “Early Promotion” designation on Form 5 • Annual Evaluations since last promotion /hire date if candidate is nontenure • Offer and Appointment Letters at time of hire • Reappointment letters since appointment if on tenure-track • Student evaluation of teaching documentation • Department P&T Committee letter must address “why early”/evidence of exceptional performance • Chair letter must address “why early” /evidence of exceptional performance • Early Promotion Checklist; UT administrative form • College P&T Committee letter must address “why early”/evidence of exceptional performance • Dean letter must address “why early” /evidence of exceptional performance | <p>Early Tenure: <u>All documents above</u> for regular “Tenure”, plus</p> <ul style="list-style-type: none"> • “Early Tenure” designation on Form 5 • Student evaluation of teaching documentation • Department P&T Committee letter must address “why early” /evidence of exceptional performance • Chair letter must address “why early” /evidence of exceptional performance • Early Tenure Checklist; UT administrative form • College P&T Committee letter must address “why early”/evidence of exceptional performance • Dean letter must address “why early” /evidence of exceptional performance |

Definitions with Details of Documents Required for Promotion and Tenure – Alphabetical order

Annual Evaluations for all years while on tenure track (when seeking tenure)- These documents are gathered by Department Coordinators of P&T and added to the candidate's dossier for P&T. All documents from tenure track years are to be included. For each year there should be: Form 1, faculty accomplishments/goals, evaluator narrative, and faculty responses (if any).

Annual Evaluations for last 5 years if candidate is already tenured or tenure-track (when seeking promotion only) – These documents are gathered by Department Coordinators of P&T and added to the candidate's dossier for P&T. All documents for last 5 years are to be included. For each year there should be: Form 1, faculty accomplishments/goals, evaluator narrative, and faculty response (if any).

Annual Evaluations since last promotion /hire date if candidate is nontenure (when seeking early promotion only) - These documents are gathered by Department Coordinators of P&T and added the candidate's dossier for P&T. All documents from the last promotion or hire date (whichever is shorter) are to be included. They are to include all documents from the annual reviews inclusive of: Form 1, faculty accomplishments/goals, evaluator narrative, and faculty response (if any).

Chair Letter - There are many ways to write the Chair letter. The following are items that must be addressed in a chair letter or are suggestions of helpful additions:

- Must be in letter:
 - name of faculty
 - if no department committee was formed, state the reason
 - date of original appointment
 - date of any promotion
 - statement of proposed promotion to X rank and / or award of tenure
 - date of proposed promotion / tenure would take effect if endorsed
 - faculty member's field
 - note of recommendation of Department P&T – Do NOT include the votes again
 - list of percent effort in research/scholarly activities, teaching, clinical activities, and service
 - note whether financial obligations (typically RVU) have been met and/or exceeded by the faculty
 - note whether scholarly productivity has been maintained. COM guidelines for **MINIMUM** productivity:

| Track | Assistant to Associate Prof | Associate Prof to Full Prof |
|-----------------------------------|------------------------------------|------------------------------------|
| Non-tenure (clinicians, teachers) | 2 | 5 |
| Non-tenure (researchers) | 5 | 10 |
| Tenure | 5 | 10 |

- statement by Chair recommending or not the promotion and/or tenure of candidate
 - signature of chair on letter
 - the Chair letter must be cc'd to: (1) faculty candidate and (2) chair of department P&T committee
- Strongly suggested:
 - Highlights of the nominee's scholarly activities.
 - Concrete examples of outstanding performance in teaching.

- Specifics with regard to the nominee’s excellence in patient care.
- Areas of outstanding service and outreach.
- If there has been a major change in the effort allocation of the faculty candidate over the years, then the letter should note as much to better explain productivity in the various missions.
- If – Then needs in the Chair letter:
 - If for promotion to professor, then the Chair must review the evidence which demonstrates the faculty has a national/international reputation.
 - If the Chair is making a recommendation opposite that of the faculty recommendation, then the Chair’s action must be explained and rationale provided in the letter.
 - If this is a tenure decision, then the Chair must provide a review of the faculty’s teaching abilities
 - If this is for promotion of affiliate, volunteer, and adjunct faculty, then a Chair statement must explicitly define the contribution of the faculty nominee to that department.
 - If early promotion and/or early tenure, then the Chair must have detailed justification as to why.
 - If in the metric sheet the faculty is scored to have exceeded expectation or is below expectations, then an explanation must be given.
 - If department faculty vote was not unanimous, then the Chair must suggest possible explanation.
 - If tenure-track went longer than 6 years, then the Chair must provide explanation.
 - If some of the “time in rank” credit was at another institution, then the Chair must confirm faculty candidate did X years at X institution at the rank of X.
 - If there is no department P&T committee vote, then the Chair must provide justification as to why, i.e We do not have 3 faculty of needed rank or tenure status (excluding rank/tenure status of department chair).

* For faculty who hold a joint appointment, the primary department should contact the chair of the secondary department to determine if the faculty member is to be simultaneously recommended for promotion in the secondary department. It is at the secondary Chair’s discretion as to whether or not they should also be promoted in the secondary department. If so, the only additional documentation required is a letter of support from the secondary department chair.

Chair letter must address “why early” / provide evidence of exceptional performance (for early promotion or tenure)
Letter must include compelling evidence for early consideration. Specific information must be provided on how the faculty member demonstrated exceptional performance. Early tenure evidence would include they are at the top 10% of the department in RVU’s or research funding. The Board of Trustees looks for glowing and specific language around how the candidate stands out.

College P&T Committee letter with vote - The letter must provide:

- Candidate name and promotion and/or tenure status they are requesting
- A narrative of the reasons for support or not supporting the tenure and/or promotion, i.e. a summary of the committee discussion
- A list of committee members with rank and tenure status
- A record of voting. For voting there are 6 possibilities:
 - yes
 - no
 - abstain/undecided

- recuse/conflict of interest - **committee members must recuse themselves if they wrote a letter of recommendation; on an active grant together, etc. The reason must be recorded on the voting report. Peer-Review of teaching is no longer a reason to be recused**
 - ineligible/not at the same rank or above, not tenured faculty if coming up for tenure
 - absent/committee member unable to attend, not in room during vote, i.e. had to step out to take a clinical call
- Report of total votes and the total vote count must equal the sum of the 6 possible votes
 - Statement if a dissenting report is included, i.e. minority view presented by committee member
 - Statement that voting was anonymous and all members were offered the opportunity to comment on strengths and weaknesses of a candidate
 - Statement as to if the chair of the committee voted/did not vote on consideration
 - **Provide compelling evidence for early consideration. Specific information must be provided on how the faculty member demonstrated exceptional performance**
 - Signature of Associate Dean of Faculty Affairs

College Promotion Metric Sheet - A quantitative assessment of accomplishments is required for all paid faculty going up for promotion in each of the missions in which the candidate has effort. This assessment called the “Promotion Metric” is completed by both the College P&T committee and Department P&T committee. If there is no Department Committee, the Chair will complete and submit the metric sheet. At <https://www.uthsc.edu/medicine/faculty-affairs/index.php> there are two related metric scoring sheets – a long and short version. First is a PDF with instructions and expanded detail entitled “Promotion Metric with Instructions” while second is a shorter auto calculation Excel version of the promotion metric entitled “Promotion Metric Shorter Version with “Auto-calculate”. Either version, when completed, is acceptable to submit with the candidate’s dossier. **Each mission score should not exceed 9 and effort % must equal 100% (Even for part-time faculty)**

CV in UT format – **The CV must be dated and include their UT faculty appointment with correct effective date to be able to determine if this is an early consideration.** “Sample CV Format” is posted on the Faculty Affairs website: <https://www.uthsc.edu/medicine/faculty-affairs/index.php>

Dean letter - The Dean will make a recommendation based on advice of the College P&T Committee, the Department Chair and the tenured faculty, as well as on the basis of other circumstances, including personal knowledge of individuals and the needs of the college. However, the Dean will make an independent judgement and recommendation on any given promotion and/or tenure. In the case of a negative recommendation, an explanation will be provided in the Dean’s letter and cc’d to the faculty and the Department Chair.

Dean letter must address “why early” /provide evidence of exceptional performance (for early promotion or tenure)
The Dean’s letter will reiterate the compelling evidence provided in the Chair’s letter

Department Generated Form 5; UTHSC administrative form – Form 5 is the master checklist of needed documents and information. The Department Coordinator for P&T begins filling out this form and it is completed by the COM Office of Faculty Affairs. The form can be found at <https://www.uthsc.edu/medicine/faculty-affairs/index.php> and is entitled “Form 5 – Promotion and Tenure Checklist”

Department P&T Committee letter with vote –

Per the UTHSC Faculty Handbook (Appendix N and College of Medicine Bylaws (Appendix B Sections 3.A and 3.B), the bare minimum of voting members are no less than three.

The chair of the departmental committee must write a letter summarizing the departmental committee's recommendations (including both the majority and minority opinions) and votes on all nominees considered by the departmental committee. This letter then goes to the department chair. A template is provided at <https://www.uthsc.edu/medicine/faculty-affairs/index.php> and is entitled "Template for Department P&T Committee Letter to Chair". The letter must be printed on letterhead and provide:

- Candidate name and promotion and/or tenure status they are requesting
- A narrative of the reasons for support or not supporting the tenure and/or promotion, i.e. a summary of the committee discussion
- A list of committee members with rank and tenure status
- A record of voting. For voting there are 6 possibilities:
 - yes
 - no
 - abstain/undecided
 - recuse/conflict of interest - **committee members must recuse themselves if they wrote a letter of recommendation; on an active grant together, etc. The reason must be recorded on the voting report. Peer-Review of teaching is no longer a reason to be recused**
 - absent/committee member unable to attend, not in room during vote, i.e. had to step out to take a clinical call
- Report of total votes and the total vote count must equal the sum of the 6 possible votes
- Statement if a dissenting report is included, i.e. minority view presented by committee member
- Statement that voting was anonymous and all member were offered the opportunity to comment on strengths and weaknesses of a candidate
- Statement as to if the chair of the committee voted/did not vote on consideration
- **Provide compelling evidence for early consideration. Specific information must be provided on how the faculty member demonstrated exceptional performance**
- Signature of Chair of the Department P&T committee

Department Promotion Metric Sheet – A quantitative assessment of accomplishments are required for all paid faculty going up for promotion in each of the missions in which the candidate has effort. This assessment called the "Promotion Metric" is completed by both the Department P&T committee and College P&T committee. At <https://www.uthsc.edu/medicine/faculty-affairs/index.php> there are two related metric scoring sheets – a long and short version. First is a PDF with instructions and expanded detail entitled "Promotion Metric with Instructions" while second is a shorter auto calculation Excel version of the promotion metric entitled "Promotion Metric Shorter Version with "Auto-calculate". Either version, when completed, is acceptable to submit with the candidate's dossier. **Each mission score should not exceed 9 and effort % must equal 100% (Even for part-time faculty)**

Department P&T Committee letter must address "why early" /evidence of exceptional performance - justification statement is required if early promotion and/or tenure

Early Promotion Checklist; UTHSC administrative form – Form is started and partially completed by the Departmental Coordinator for P&T. It then comes with the candidate's dossier to COM where the Office of Faculty Affairs

completes. The form can be found at <https://www.uthsc.edu/medicine/faculty-affairs/index.php> and is entitled “Early Promotion Checklist”.

“Early Promotion” designation on Form 5 - Early Promotions is determined by the dates of “Current UTHSC Appointment” date from IRIS and put in Form 5 <https://www.uthsc.edu/medicine/faculty-affairs/index.php> by Department Coordinators of P&T. In brief:

- For faculty to be promoted to Associate Professor, they must have been an Assistant Professor (at any reputable institution) for a total of 4 years. **This means they are an Assistant Professor a total of 48 months. Thus, if they were initially named an Assistant Professor after July 1, 2021, then they are requesting an EARLY promotion.**
- For faculty to be promoted to Professor, they must have been an Associate Professor (at any reputable institution) for a total of 5 years. **This means they are an Assistant Professor a total of 60 months. Thus, if they were initially named an Associate Professor after July 1, 2020, then they are requesting an EARLY promotion.**
- There may be some exceptions to these rules if a faculty took time off from being on faculty, i.e. entered private practice. Consult with the Associate Dean of Faculty Affairs if there is such a break in academic record.

Early Tenure Checklist; UTHSC administrative form – Form is started and partially completed by the Departmental Coordinator for P&T. It then comes with the candidate’s dossier to COM where the Office of Faculty Affairs completes. The form can be found at <https://www.uthsc.edu/medicine/faculty-affairs/index.php> and is entitled “Early Tenure Checklist”.

“Early Tenure” designation on Form 5 - Early tenure is determined by the dates of “Tenure Review Date” and put in Form 5 <https://www.uthsc.edu/medicine/faculty-affairs/index.php> by Department Coordinators of P&T. In brief:

- All tenure-track periods are now set at 6 years per our Board of Trustees. The 6 years is only counted for time spent at UTHSC. Thus, if a tenure-track faculty was initially put on tenure-track after July 1, 2018 at UTHSC, then they are requesting an EARLY tenure review.
- There will be exceptions to this rule if the faculty received an extension or suspension of their tenure clock. Consult with the Associate Dean of Faculty Affairs in these cases.

Interim (mid-tenure) probationary review - This document is added to the candidate’s dossier by the Department Coordinator of P&T.

Letters of Evaluation, a.k.a. reference letters - All potential evaluators are to be identified by mutual agreement of the candidate and the chair. The number of evaluators proposed should exceed the minimum required (see table below). Once Chair-candidate determined who is to be asked, the contact information is provided to the Department Coordinator for P&T. The Department Coordinator for P&T will solicit letters using the approved template “Letter of Solicitation Template” with 2 attachments provided to the evaluator of (1) candidate CV, and (2) document entitled “UTHSC Promotion and Tenure Criteria”. The solicitation template and criteria document can be found at <https://www.uthsc.edu/medicine/faculty-affairs/index.php>. Letters of Evaluation should be solicited before

Department P&T committee meetings and should be used in the faculty deliberation. For additional information, reference UTHSC Faculty Handbook section 4.11.2.1.

Number of letters and whether they are from inside or outside UTHSC is dependent on the candidate’s rank they are hoping to be promoted to and their tenure status. Please see table:

| Type of Promotion | Min# of ¹ Internal Letters | Min # of ² External Letters |
|---|---------------------------------------|--|
| A. Instructor to Assistant Professor | 3 | 0 |
| B. Assist to Assoc WITHOUT tenure | 3 | 2 |
| C. Assist to Assoc WITH tenure | 2 | 3 |
| D. Assoc to Professor any tenure status | 2 | 3 |
| E. Tenure without Promotion (“a” below) | 2 | 3 |

Internal versus External

¹Internal: UTHSC or UTHSC affiliates like St Jude or VA

²External: not employed or affiliated with UTHSC

Letter writer must be (a) at or above the candidate’s current rank, in the case of tenure review only, or (b) at or above the rank to which the candidate aspires to be promoted.

In cases where the letter writer holds the title of Emeritus, the letter does not count toward the minimum requirement.

For consideration for the award of tenure for a UTHSC faculty, the letter writer MUST be tenured and state as much in the letter of reference. For already tenured faculty going up for promotion, tenured letter writers should be used wherever possible.

Letters of Evaluation Summary Sheet; administrative form – This form is a checklist to monitor if mandatory elements of a letter of evaluation are present and, as such, the letter will be accepted by UT as one of the required letters. Form can be found at <https://www.uthsc.edu/medicine/faculty-affairs/index.php> and is titled “Letter of Evaluation Summary Sheet”. This letter summary sheet is completed by the Departmental Coordinators for P&T for every candidate going up for promotion or tenure and forwarded along with their dossier. Many of the tips and pitfalls associated with letters of evaluation can be minimized if this form is carefully completed. A power point (at the URL above) from the Departmental Coordinators workshop goes through the requirements for letters and this summary sheet.

Offer and Appointment Letters at time of hire - Department Coordinators of P&T add these documents to the candidate’s dossier. Any salary information must be obscured and the letters must be signed.

Other documents the faculty wishes to include – The UT Faculty Handbook notes “Such documents may include, but are not limited to, sample publications; summaries of student teaching evaluations, as well as other indicators of teaching performance.” Further, past candidates have added: a short letter highlighting main accomplishments in

each of the missions (from candidate and addressed to the Chair), table of student comments from various teaching activities, and tables added to the back of their CV which outline clinical activity, teaching activity, service activity over the years in rank.

Peer-Review of Teaching – 2 reviews required – Peer review of teaching is required for **everyone** (paid and non-paid) requesting promotion and/or award of tenure. (COM ByLaws <https://uthsc.edu/medicine/faculty-affairs/documents/com-bylaws-2020.pdf>, page 42) Details of this process and the approved forms for that review can be found at <https://www.uthsc.edu/medicine/faculty-affairs/index.php> in a document entitled “Peer Review of Teaching” **There are 3 different forms. Please complete only those relevant to the specific setting that the teaching was observed. Forms must be legible, include the name of the course, topic, or function observed and the full date (m/d/yr). Circle the rating - Do NOT hi-light the rating.**

Reappointment letters since appointment on/if on tenure-track - Department Coordinators of P&T add these documents to the candidate’s dossier.

Student evaluation of teaching documentation – For early promotion and/or tenure request student evaluation of teaching must be included. This can be summarized by the faculty, with extraction of specific quotes from students, and must be reviewed by the Chair to confirm accuracy of summary. In some cases, student evaluations may not be available. Consult with the Associate Dean of Faculty Affairs if this is a concern.