

Bylaws of College of Medicine

UT Memphis

**Approved by Council
College of Medicine
February 24, 2005**

Effective July 1, 2005

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Section One

Structure and Function of College of Medicine

COUNCIL ORGANIZATION AND STRUCTURE

SECTION I. NAME:

The Council of the College of Medicine Faculty hereafter referred to as “The Council.”

SECTION II. FUNCTION AND PURPOSE OF THE COUNCIL:

The Council shall be the body of the College of Medicine which collectively reviews, advises, and makes recommendations to the Executive Dean of the College of Medicine on matters relating to policies and programs of the College of Medicine. Reports from the standing committees of the College of Medicine shall be presented to the Council on a regular basis by the Associate Deans, and the Council shall make recommendations to the Executive Dean prior to the implementation of any policy changes, additions, or deletions proposed by the committees.

SECTION III. MEMBERSHIP OF THE COUNCIL:

- A. Voting Members. The voting members shall include the Executive Dean of the College of Medicine, all departmental chairs in the College of Medicine, the President and President-Elect of the College of Medicine Dean’s Faculty Advisory Committee (DFAC), Directors of College of Medicine programs, and Associate Deans in the College of Medicine.
- B. Non-voting Members. The non-voting members shall include Assistant Deans in the College of Medicine and other persons appointed by the Executive Dean of the College of Medicine.
- C. Officers. The Executive Dean of the College of Medicine will serve as Chair of the Council. A Vice-Chair and a Secretary will be elected from the Council at large.

SECTION IV. MEETINGS OF THE COUNCIL:

- A. The Council shall meet at a regularly scheduled time to be determined by the Council. Meetings shall be held as necessary to conduct the business of the Council. At least three

(3) working days notice of meetings and a copy of a proposed agenda shall be distributed by the Executive Dean's Office to members of the Council. Council members may request specific agenda items. Requests for agenda items should be submitted in writing to the Executive Dean's Office at least five (5) working days prior to the regular meetings for the items to appear on the printed agenda. In addition, agenda items may be raised from the floor at the meeting.

- B. Special meetings of the Council may be called upon the written request of any five (5) members of the Council or the Council Chairs. Such requests shall be submitted to the Chair of the Council and the special meeting must be held within fifteen (15) working days of the request.
- C. A quorum shall be defined as fifty-one percent (51%) of the voting membership.
- D. The minutes of each meeting of the Council shall be maintained with copies distributed to the membership within ten (10) working days after the meeting. The Council shall vote on their acceptance at the subsequent meeting. The approved minutes shall be available in the Executive Dean's Office and the Office of the President of the DFAC.

ADMINISTRATIVE ORGANIZATION

SECTION I. THE EXECUTIVE DEAN OF THE COLLEGE OF MEDICINE:

- A. Duties and Responsibilities. The authority and responsibility for the operation of the College of Medicine has been delegated to the Executive Dean of the College of Medicine by the University.

- B. Appointment. The Executive Dean shall be appointed in accordance with the policy established by the University of Tennessee Board of Trustees.

- C. Reporting Relations. As the chief executive officer of the College of Medicine, the Executive Dean shall report directly to the Chancellor of the University of Tennessee Center for the Health Sciences.

- D. Campuses. The College of Medicine is statewide with campuses located in Chattanooga, Knoxville and Memphis. In addition, some aspects of the educational program are available in Nashville, Jackson and almost every city/town in Tennessee where preceptors for the Family Medicine clerkship are located. The three campuses - College of Medicine - Chattanooga; College of Medicine - Knoxville; and College of Medicine - Memphis - all have a Dean who is responsible for the operating functions at those locations. Department Chairs and other administrative personnel at these locations report to the respective Deans. In turn, each Dean reports to the Executive Dean of the College of Medicine who is the Chief Academic Officer for the College.

SECTION II. DEPARTMENTAL ORGANIZATION:

- A. Departments. The College of Medicine shall be organized into departments relating to the various clinical and biomedical science disciplines. The departments shall be responsible for the teaching, research, and service programs within the specific disciplines at the respective campuses.

- B. Department Chairs. Each department shall be directed by an administrative official with the title of Department Chair. This position shall be responsible to the Dean of each campus (Regional Dean) for the total operation of the department as it relates to teaching, research, service, and patient care. This includes responsibility for the financial and personnel affairs of the department. Upon consultation with and approval by the Regional Dean, the department chair may organize the department into various divisions and sections as may be necessary to carry out the function of the department.

- C. Appointment of Department Chairs. The appointment of each department chair shall be the responsibility of the Regional Dean with concurrence of the Executive Dean, Chancellor and the Provost (VC for students, academics & faculty). He/she shall be advised by a committee which shall be appointed and charged with the responsibility of studying and advising on the needs relative to the department, interviewing applicants, and recommending candidates. Further specifics are outlined in Section 2.3.7.6 of the UT Memphis Faculty Handbook.

- D. Interdepartmental Functions. Interdepartmental programs shall be established by the Executive Dean of the College of Medicine after consultation with the Council and with concurrence of the Chancellor. The Director of the program shall be appointed by the Executive Dean in consultation with appropriate personnel, including department chairs. The Director shall report directly to the Executive Dean on matters relating to the program. The program will come under the auspices of the College of Medicine and the appropriate standing committee.

SECTION III. COMMITTEES OF THE COLLEGE OF MEDICINE:

- A. General Purpose and Function of the Committees. Appropriate standing committees shall be established by the Executive Dean of the College of Medicine and charged with responsibilities in the areas of (1) review and recommendations of policies and programs and (2) implementation and evaluation of activities within the purview of each committee.

- B. Reporting Relations. Each standing committee will report directly to the Executive Dean of the College of Medicine through the appropriate Associate Executive Dean. Reports from the committees will also be presented to the Council by the Associate Deans on a regular basis so that the Council can make recommendations to the Executive Dean prior to the implementation of any policy changes, additions, or deletions proposed by the committees.
- C. Composition of the Committees. The membership of the standing committees of the College of Medicine shall be appointed by the Executive Dean of the College of Medicine with the advice of the President of DFAC, DFAC's Nominating Committee, and the appropriate Associate Deans who serve as chairs of the various standing committees. The membership of the various standing committees will be made up by members of the faculty of the College of Medicine. In addition, the Committee on Admissions, the Committee on Student Affairs, and the Committee on Undergraduate Medical Education and its Biomedical Sciences, and Clinical Sciences Subcommittees shall include student representation. The membership of other committees may include student and staff representation as deemed appropriate by the Executive Dean. Whenever necessary, subcommittees shall be appointed by the Executive Dean of the College of Medicine in consultation with the chair of the appropriate standing committee to deal with specific policies or program activities. All subcommittees shall report through the appropriate standing committee or Associate Dean to the Executive Dean of the College of Medicine. Where appropriate, staff support for these committees will be appointed by the Executive Dean. Membership on all committees shall be reviewed annually. In addition to the basic voting membership of committees and subcommittees, appropriate non-voting (ad hoc) members may be appointed by the Executive Dean with the advice of the appropriate committee or subcommittee chair.
- D. Standing Committees. The following shall be standing committees of the College of Medicine:
1. The Committee on Undergraduate Medical Education.

- a. Function. The Committee shall be responsible for (1) reviewing and recommending policies and programs regarding undergraduate medical education to the Executive Dean of the College of Medicine and (2) implementing and evaluating the undergraduate curriculum of the College of Medicine. Subcommittees of the Committee on Undergraduate Medical Education shall be established to coordinate and implement the educational program in specific areas. These subcommittees shall be:
- (1.) Biomedical Sciences Subcommittee. This subcommittee is responsible for (1) reviewing and recommending policies and programs in the biomedical sciences portion of the curriculum to the Committee on Undergraduate Medical Education and (2) implementing and evaluating the biomedical sciences curriculum. Membership of the Biomedical Sciences Subcommittee shall be named as provided in Section III-C. Included in its membership shall be at least one medical student.
 - (2.) Clinical Sciences Subcommittee. This subcommittee is responsible for (1) reviewing and recommending policies and programs regarding the third-year core clerkships to the Committee on Undergraduate Medical Education, (2) managing the implementation and evaluation of the clerkship curriculum, (3) reviewing for approval new elective and senior clerkship proposals from faculty members and (4) implementing and evaluating the clinical elective curriculum. Membership of the Clinical Sciences Subcommittee shall be named as provided in Section III-C. Included in its membership shall be at least one medical student.
- b. Membership. Membership on the Committee on Undergraduate Medical Education shall be named as provided in Section III-C, and the membership shall include at least one medical student. The Associate Dean for Academic and Faculty Affairs will serve as the Chair. Membership on the subcommittees will be determined by the function of the committee, except that the chair of each subcommittee must be a member of the Committee on Undergraduate Medical Education.

2. Progress and Promotions Committee for a Medical Class 2XXX. This committee is responsible for monitoring student progress and making recommendations to the Executive Dean through the Associate Dean for Academic and Faculty Affairs concerning the results of student performance in the undergraduate curriculum. Membership of the Progress and Promotions Committee shall be named as provided in Section III-C.
3. The Committee on Admissions.
 - a. Function. The Committee shall be responsible for (1) reviewing and recommending policies and programs on admission of applicants to the College of Medicine to the Dean of the College of Medicine and (2) implementing and evaluating the admissions process. The committee shall review each application for admission and submit its recommendations to the Dean of the College of Medicine.
 - b. Membership. The membership shall be determined as provided in Section III-C. The Associate Dean for Admissions and Students will serve as the Chair. Student representation shall be included.
4. The Committee on Student Affairs.
 - a. Function. The Committee shall be responsible for (1) reviewing and recommending policies and programs regarding student affairs to the Dean of the College of Medicine and (2) implementing and evaluating various aspects of the student campus life supportive of the academic programs.
 - b. Membership. The membership shall be appointed as provided in Section III-C. The Associate Dean for Admissions and Students will serve as the Chair. Student representation shall be included.
5. Committee on Academic Appointments and Promotions.

- a. Function. The committee shall be responsible for (1) reviewing and recommending policies and programs in the area of appointments, promotions, and tenure of the faculty of the College of Medicine to the Executive Dean of the College of Medicine, (2) implementing and evaluating procedures on appointments, promotions, and tenure of faculty, (3) reviewing and recommending to the Executive Dean action on all individual nominations by department chairs for appointment, promotion, and award of tenure, and (4) other matters (i.e. assessment) as assigned by the Executive Dean.
- b. Membership. The membership shall be appointed as provided in Section III-C. The Associate Dean for Academic and Faculty Affairs will serve as the Chair.

6. Committee on Continuing Medical Education.

- a. Function. This committee shall be responsible for (1) reviewing and recommending policies and programs in the area of continuing medical education to the Dean of the College of Medicine and (2) implementing and evaluating the continuing education program of the College of Medicine.
- b. Membership. The membership shall be appointed as provided in Section III-C. The Associate Dean for Continuing Medical Education will serve as the Chair.
- c. Each campus will have an Appointment and Promotions Committee that will be responsible for functions at the campus or as delineated in paragraph 4a. Campus committees are to be chaired by a faculty member who is not a departmental chair.

7. Committee on Graduate Medical Education.

- a. Function. The committee shall be responsible for (1) reviewing and recommending policies and programs in graduate medical education to the Executive Dean of the College of Medicine, and implementing and evaluating policies, programs, and procedures relating to graduate medical education for the College of Medicine.
- b. Membership. The membership shall be appointed as provided in Section III-C. The Associate Dean for Graduate Medical Education will serve as the Chair.

- E. Ad Hoc Committees. Ad Hoc Committees of the College of Medicine may be appointed as deemed necessary by the Executive Dean of the College of Medicine. Generally, these committees will be assigned clear and specific duties for a limited period of time. At least one member of these committees shall be a member of the Administrative Council.

SECTION IV. ADMINISTRATIVE OPERATION OF THE OFFICE OF THE EXECUTIVE DEAN:

The Executive Dean of the College of Medicine shall establish and appoint various staff officers and officials to assist in the daily operation of the College of Medicine. These officers and officials shall be assigned specific areas of responsibility by the Executive Dean.

For the most current College of Medicine Organizational chart go to the Academic & Faculty Affairs website at:

http://www.utm.edu/Medicine/Acad_Affairs/Fac_Adm/

UNIVERSITY OF TENNESSEE
COLLEGE OF MEDICINE
ORGANIZATIONAL CHART

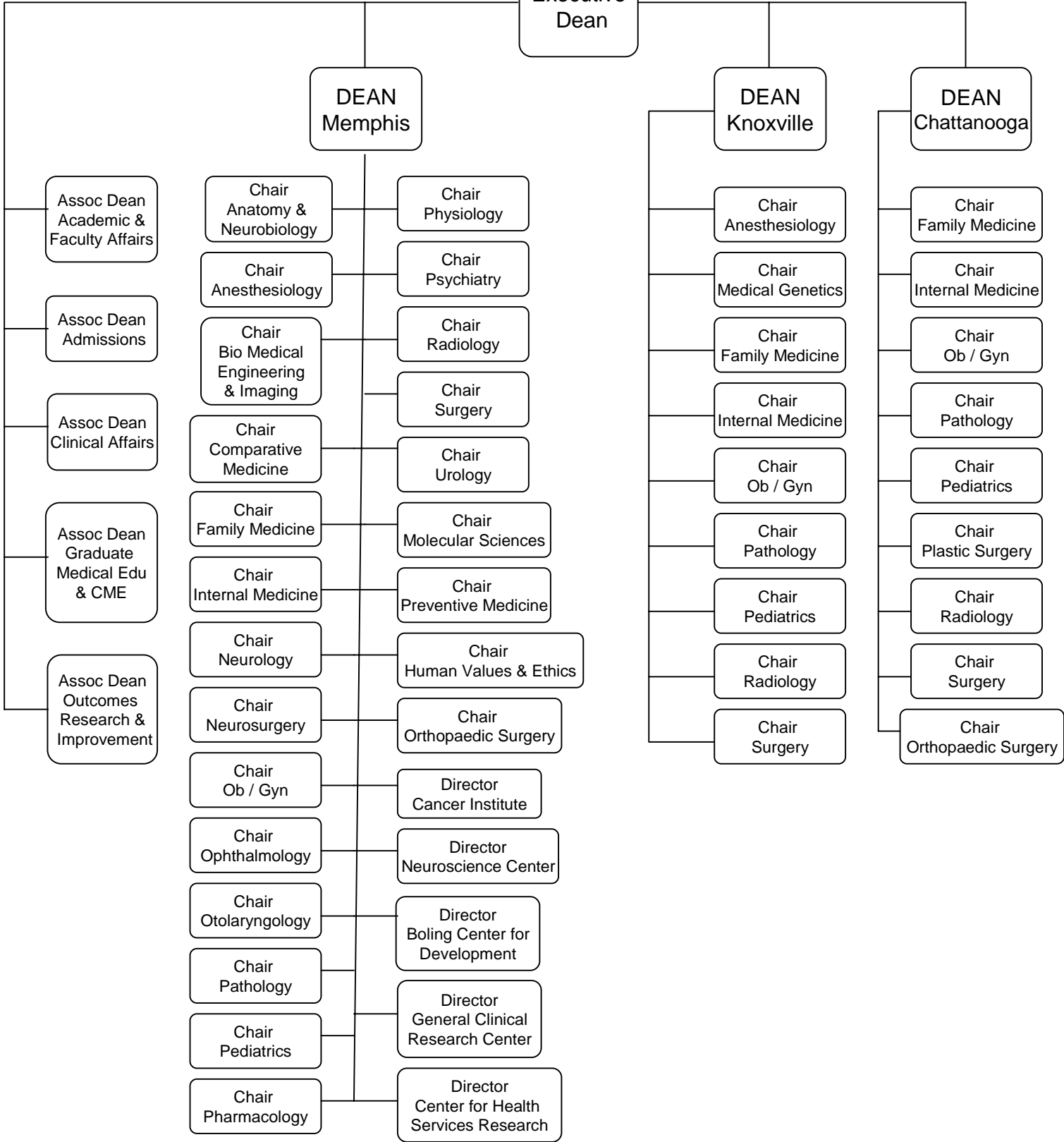
Chancellor

Executive Dean

DEAN
Memphis

DEAN
Knoxville

DEAN
Chattanooga



Functions and structure of a medical school are found in the “Accreditation Standards” of Medical Education Programs Leading to the MD Degree” found at the Liaison Committee on Medical Education (LCME) website at <http://www.lcme.org/standard.htm>

Section Two

Faculty Bylaws

BYLAWS OF THE FACULTY ORGANIZATION OF THE COLLEGE OF MEDICINE UNIVERSITY OF TENNESSEE

ARTICLE I. NAME

The name of this organization shall be the “Faculty Organization of the College of Medicine of the University of Tennessee, Memphis” hereinafter referred to as FCM.

ARTICLE II. PURPOSE

The purposes of the organization are to:

- A. Promote and facilitate communication among the members of the faculty and the College of Medicine administration.
- B. Afford faculty members opportunities to propose, review, and discuss policies and programs of the College of Medicine.
- C. Allow faculty a voice relative to the policies of the College of Medicine through designated faculty representation on the Council and its Dean’s Faculty Advisory Committee (DFAC).
- D. Foster development of an environment and atmosphere that will enhance the achievement of the objectives of the faculty enumerated in the document “Organization and Structure of the College of Medicine,” dated April 30, 1984.

ARTICLE III. MEMBERSHIP

- A. Members – Membership in FCM shall be open to all persons holding an unqualified faculty appointment (i.e., instructor, assistant professor, associate professor, professor) in the College of Medicine in Memphis and all faculty holding a qualified faculty appointment of clinical professor in a College of Medicine department, division or other unit of the College of Medicine in Memphis.
- B. Non-voting members – Emeritus faculty and volunteer faculty with a faculty appointment lower than clinical professor are eligible for non-voting membership.
- C. Membership Dues – There shall be no dues assessment for FCM membership.

ARTICLE IV. MEETINGS AND VOTING

- A. Meetings:
 - 1. General meetings – There shall be two general meetings of FCM per year, held in the fall and spring. The time and place of the meetings will be designated by the Dean’s Faculty Advisory Committee and notice of the meetings must be given at least two weeks in advance.
 - 2. Special meetings – Special meetings may be called by the president or may be held in response to a written request by twenty (20) members of FCM or in response to a request by the Dean of the College of Medicine. Written notice of the special meetings stating the time and place and purpose of the meeting must be given at least five (5) working days prior to the meeting.
 - 3. Deans’ Faculty Advisory Committee (DFAC) meetings – See article VI, B.
 - a. regular meetings – The DFAC shall hold not less than nine (9) monthly meetings per year at a regular time and place selected by the DFAC.
 - b. called meetings – Called meetings may be held at the request of the president, in response to a request of the majority of the members of the DFAC or in response to a request by the Dean of the College of Medicine. The purpose of the meeting shall be stated and no other business shall be transacted at such called meetings.

- B. Voting:
 1. A quorum shall consist of 50 members of FCM
 2. Issues before FCM shall be decided by a simple majority vote of the members present. There will be no proxy voting.

- C. Elections:
 1. Nominating Committee – A nominating committee consisting of not less than 3 members of FCM shall prepare a slate of candidates for officers of the organization with not less than 2 candidates per position. The slate of candidates shall be distributed with the notice of the spring meeting, one month prior to the date of the meeting. Nominations will be accepted from the floor.
 2. Voting – New officers of FCM shall be elected by majority vote and will assume their duties at the close of the spring meeting.

- D. Rules of Order – ROBERTS RULES OF ORDER shall govern at all meetings of FCM unless they conflict with the Bylaws of FCM.

ARTICLE V. OFFICERS AND THEIR DUTIES

- A. Officers:
 1. The officers of FCM shall be a president, vice president/president-elect, and secretary
 2. Officers shall be elected by majority vote of FCM members at the general meeting to be held in April per Article IV, C.
 3. An administrative term shall be twelve (12) months. Officers may not serve more than two (2) terms except for the secretary who may serve no more than four (4) terms

- B. Duties of the Officers:
 1. The president shall:
 - a. preside at all meetings;
 - b. interpret the Bylaws with the parliamentarian;
 - c. cast the deciding vote in case of a tie (president may not abstain in a tie situation);
 - d. appoint a nominating committee and appoint the nominating committee chairman;
 - e. supervise the affairs of the organization;
 - f. advise the Dean on appointments to the standing committees of the College of Medicine;
 - g. be empowered to appoint a replacement for a vacated elected officer of FCM (to fill the unexpired term) with approval of the DFAC;
 - h. be an ex officio, voting member of the College of Medicine Council;
 - i. be an ex officio, voting member of the Executive Committee of the Council
 - j. be an ex officio member of the Faculty Senate
 2. The vice president/president elect shall:
 - a. become president if the president vacates;
 - b. preside at meetings if the president is absent;
 - c. accept any administrative responsibility requested by the president or Dean;
 - d. be president-elect;
 - e. be an ex officio voting member of the College of Medicine Council
 3. The secretary shall:
 - a. keep minutes of all sessions of the DFAC and general membership meetings;
 - b. record attendance at meetings in books for this purpose;
 - c. notify the DFAC of any meetings and prepare notices of general meetings for distribution;
 - d. keep the official minutes book and original Bylaws of FCM
 4. The Dean shall be parliamentarian

ARTICLE VI. COMMITTEES

There shall be two (2) committees of FCM:

- A. Nominating Committee – The Nominating Committee will be appointed by the president (See Article IV, C, I, and V, B, 1.d).
- B. Dean’s Faculty Advisory Committee (DFAC) – The DFAC will be composed of the elected officers – president, vice president/president-elect, secretary and elected members from each College of Medicine department/division/or unit designated by the Dean of the College of Medicine that has faculty members with an unqualified appointment (see Article III, A). Past presidents shall be ex officio members of the DFAC for the two years following their term of office (this is not intended to replace the elected member of the committee from the past president’s department).
 1. Election of Dean’s Faculty Advisory Committee members:
Each department and other eligible unit shall elect one representative to the FCM Dean’s Faculty Advisory Committee. The election of such representative will be held in May. The term of office of Dean’s Faculty Advisory Committee members elected by departments/divisions/units shall be two (2) years. Members may serve for two (2) consecutive terms.
 2. Duties of Dean’s Faculty Advisory Committee members:
 - a. to ascertain and represent the viewpoints of the faculty of their departments or units at Dean’s Faculty Advisory Committee meetings;
 - b. to suggest topics for inclusion on the agenda of the College of Medicine Executive Committee or council or both;
 - c. to determine faculty viewpoints on prospective College of Medicine policies and programs and to inform the FCM;
 - d. to transmit to their department members information concerning FCM Dean’s Faculty Advisory Committee meetings and other matters;
 - e. to select an alternate to attend meetings of the Dean’s Faculty Advisory Committee when the elected member is unable to attend.

ARTICLE VII. AMENDMENTS

These Bylaws may be amended by a majority of those present and voting at any general meeting, provided notice of the proposed change (s) is given at least two weeks (14 days) prior to such meeting. Changes are subject to approval by the Dean, the Chancellor of the University of Tennessee, Memphis and the University of Tennessee Board of Trustees.

ARTICLE VIII. LOGISTICAL SUPPORT

The secretary of FCM shall be responsible for preparing notices of meetings. The Dean’s office will be responsible for distribution of meeting notices and other necessary information and may provide secretarial or staff support to FCM for limited periods of time.

ARTICLE IX. AUTHORIZATION OF FCM

FCM is reinstated and organized according to the document – Organization and Structure of the College of Medicine, dated April 30, 1984, (see Appendix A), issued by the Dean of the College of Medicine and approved by the Chancellor of the University of Tennessee, Memphis.

ARTICLE X. MINUTES

The minutes of the FCM meetings, after approval by the Dean's Faculty Advisory Committee, will be submitted for publication in the UT Record and on the COM FCM website.

Section Three
Appointment, Promotion
And
Award of Tenure

(This document was approved in July 2005 and remains in force until the current proposed “Appointment Promotion and Award of Tenure” criteria are approved by UTHSC and the Board of Trustees. It is anticipated that these guidelines will become effective in FY2008)

CRITERIA FOR APPOINTMENT IN OR PROMOTION TO SPECIFIC ACADEMIC RANKS

Appointment to the Faculty is based on the past demonstration and/or promise of excellence in teaching, patient care, research, and/or service. Proper credentials will be the prime criterion for appointment. The original appointment of an individual to a specific faculty rank must be based on credentials documented through the Institutions at which they were obtained (degrees, postdoctoral training, residency, fellowship, etc.). Each candidate will be evaluated with respect to past performance in academic and scholarly activities appropriate to his/her fields.

The terms “regular” and “special” will be used to modify the term appointment. The term “regular” will define an appointment such as Professor, Associate Professor, Assistant Professor and Instructor, without modifying or qualifying adjectives. This applies to both tenure and non-tenure track appointments as described below. A “special” appointment is one which uses the above rank terms, but ordinarily the rank designation is modified by such a term as “Adjunct”, “Clinical”, “Emeritus” or other. (See Appendix F for further information about appointments of a special nature.) Such modifiers are limited to volunteer, visiting and emeritus faculty appointments. An affiliated faculty is a full-time member of an institution which has a formal affiliation with UT Memphis. Although affiliated faculty are identified as special appointments, the rank designation is not modified by any term. A further explanation of these terms can be found in the UTHSC Faculty Handbook.

There are two types of regular appointments: tenure track and non-tenure track. Academic rank and the award of tenure are separate at the University of Tennessee. In a following section entitled, “Criteria for Award of Tenure to Faculty,” details of the tenure processes are outlined. In the College of Medicine, the term, “non-tenure track appointment” is used, for the sake of clarity, to replace the term, “funding-limited term appointment” as listed in the UTHSC Faculty Handbook. The two appointments are the same. As described in the UTHSC Faculty Handbook, the appointment of a faculty in the non-tenure track is contingent upon the availability of salary funds either from sources not controlled by the University, e.g., grants, contracts, clinical practice, etc., or from University-controlled funds. When the funding for the position expires, the faculty member’s employment will be discontinued.

Individuals may be appointed to the non-tenure track at any rank for which they qualify, including Instructor, Assistant Professor, Associate Professor, and Full Professor.

Renewal of non-tenure track appointments will be based on availability of funds, documentation of continued excellence in performance, and contribution to the goals of the College and their respective departments. Non-tenure track faculty will be appointed for a one year renewable term. Whereas a faculty member in the tenure track must attain tenure by a specified mandatory tenure date (usually within 7 years) or be terminated, faculty members on the non-tenure track may be reappointed for as long as funds are available and performance is acceptable. The faculty titles for non-tenure track appointments are the same as for tenure appointments; both are without tenure distinction. Non-tenure track faculty may participate in faculty governance at the same

level as tenure track faculty, with the exception that they will not be able to vote in decisions regarding the award of tenure.

Duties of non-tenure track faculty will be specifically listed in the initial appointment letter. Individuals with duties primarily in clinical practice and teaching will be identified as Clinician/Educators; those with duties primarily in collaborative research and teaching will be identified as Research/Educators.

A current faculty in either track is eligible to apply for any advertised UTHSC faculty position whether tenure track or non-tenure track. If the current faculty member is selected for the new position, this in effect could lead to a change in his or her current track from non-tenure to tenure or vice versa. However, each faculty member would be permitted to change tracks only once. All posted and advertised faculty positions are filled in accordance with University guidelines that include a review by appropriate departmental recruitment, appointment, and promotion committees as well as CAAP. The intent is to select the most qualified person for the new position whether tenure or non tenure-track.

Decisions regarding the actual awarding of tenure and further promotions will be based on the time of the initial appointment in the tenure track.

Appointment or promotion in the non-tenured track requires demonstrable scholarship. For Clinician/Educators, there should be evidence of excellent teaching and professional service. For Research/Educators, there should be evidence of excellent teaching and outstanding research, either individual or collaborative in nature.

Scholarly achievements readily identifiable in the traditional realms of endeavor of the faculty member (teaching, patient care [if appropriate], research, and/or service) are the major criteria for promotion.

The following criteria will be applicable for all faculty appointments including tenure track, non-tenure track, adjunct, affiliated, and volunteer. Criteria to support appointment or promotion to Assistant Professor, Associate Professor, or Professor must be considered with the realization that not all candidates for appointment or promotion will excel in all of the relevant categories of scholarly achievement. The categories that best demonstrate the strengths of each candidate must be prioritized independently for that candidate. For example, individuals whose primary appointment and function is to be a clinician educator may or may not perform clinical or basic research. For non tenure-track appointments and promotions, particularly for basic science appointments, individuals may not be expected to either obtain independent extramural funding or maintain an independent research program. The requirement for documented scholarly achievement to support promotion, however, will be no less important, regardless of type of appointment. Further details about the requirements for each rank are indicated in Section 5, UTHSC Faculty Handbook.

Criteria for the Different Academic Ranks:

General requirements for appointment in or promotion to the faculty are as follows:

I. Instructor

A. Training

1.) Medical Doctor Degree, Doctoral degree or terminal degree in one's discipline.

2.) Residency training or postdoctoral research training (1-3 yrs.).

B. Potential Commitment to excellence in teaching, patient care (if appropriate), research, and/or service.

Documentation of the appropriate education and experience will be provided to the Dean of the College of Medicine by the Chair of the department in which the appointment is to be recommended. The rank of Instructor is considered transient. The credentials of the individual are not yet adequate to judge whether he/she will merit a more permanent faculty appointment in this institution; thus, appointment will be on an annual basis with careful review of continuation each year. For regular faculty, the chair is urged to make a critical decision on retention (and generally, thus, promotion) of an instructor no later than three (3) years after original appointment.

II. Assistant Professor

Appointment in or promotion to Assistant Professor implies completion of training, during which the faculty member has already demonstrated that he/she has an adequate background to develop a career in academic medicine.

A. Training

1.) Medical Doctor Degree, Doctoral degree or their equivalent.

2.) For physicians, certification by the American Board or foreign equivalent certifying body in his/her basic medical specialty is required. Only a physician whose role is in teaching, research and/or service without a patient care

component is exempted from seeking certification. The requirement for certification may also be temporarily waived if the subspecialty requires a year of clinical practice before being eligible for the Boards. This waiver will be particularly relevant for disciplines that necessitate a delay in completing Board certification.

3.) For biomedical scientists with a Ph.D. degree, at least two years post-doctoral training and 1 first author publication is generally expected.

4.) Normally the expected time line for training prior to appointment as assistant professor is as follows:

- a) For individuals with a Ph.D. the average time between graduation with a Bachelor's degree and appointment as Assistant Professor is six to eight years, four to six years in graduate school and two to four years post-doctoral training.
- b) For individuals with a M.D. who will assume a position that will be 80% or more clinical service with teaching responsibility but no research, the average time between completion of a Bachelor's degree and appointment to Assistant Professor will also be six to eight years, four in medical school, and a minimum of two to four years residency to achieve Board certification.
- c) For individuals with an M.D. or M.D./Ph.D. who will assume a position that will include basic or clinical research, the time between completion of a Bachelor's degree and appointment to Assistant Professor will also be six to eight years, but will likely tend more

toward eight years to encompass residency training and a fellowship for research training.

B. Potential

- 1.) Promise of excellence in teaching.
- 2.) Promise of excellence in research and/or patient care and promise for continued productivity such as by one of the following:
 - a) High quality performance in a clinical or research fellowship or graduate training as documented by directors of these programs.
 - b) Collaborative or independent research leading to publication and /or presentation.
 - c) Outstanding performance in patient care activities.
- 3.) Promise of excellence in service to the Department, College, University and/or Community.

The question of fulfillment of these criteria will be reviewed by the Committee on Academic Appointments and Promotions of the College of Medicine and by the Associate Dean for Academic and Faculty Affairs who will then make recommendations to the Dean. The actual appointment will be a matter between the chair of the department in which the appointment is to be made and the Dean of the College of Medicine, and ultimately, the Chancellor.

III. Associate Professor

While the years in the rank of Assistant Professor are a period in which a faculty member is given the opportunity and is expected to develop skills and expertise relative

to his/her role in the department (in one of the usual academic arenas--teaching, patient care, research, and/or service), an appointment in or a promotion to the rank of Associate Professor signifies considerable accomplishment of these goals with definite promise of continued productivity and development. A promotion to the rank of Associate Professor signifies an expectation of eventual promotion to the rank of Professor. A period of four (4) years is usually the minimum time in the rank of Assistant Professor after which promotion to Associate Professor could be made.

A. Training

- 1.) Any recommendation for appointment or promotion to the rank of Associate Professor must extensively and specifically document the nominee's contributions and accomplishments. These include all those required for Assistant Professor rank and demonstrated excellence in teaching, patient care, research and/or service, and promise of continued productivity therein.
- 2.) In addition, certification by the American Board or equivalent credentials is expected.

B. Accomplishments

- 1.) Scholarly achievement for individuals with a Ph.D. and a basic sciences appointment may include the following in order of priority and importance:
 - a) peer reviewed publications that have significant scientific impact based on the citation index factor for the top five publications produced as an Assistant Professor
 - b) consistent extramural grant support

- c) evidence of national recognition of success in the candidate's area of expertise such as chairing or co-chairing sessions at national meetings, invitations to speak at national meetings or at other institutions, presentations at national meetings, manuscript reviews or appointment on editorial boards, invited book or journal reviews, and service on study sections or other invitations for grant reviews
- d) success of trainees in obtaining academic positions
- e) demonstrable proficiency in teaching determined by the number of hours committed and student and peer faculty evaluations
- f) service on University and Departmental committees
- g) Demonstrated willingness to participate in collaborative research both inside and outside the candidate's Department
- h) professional consulting services and service on educational or directory boards outside the University
- i) operation and direction of a core research facility to provide research service and training

2.) Scholarly achievement for individuals with a M.D. and an appointment that is primarily clinical service with teaching may include the following:

- a) Board certification in the relevant specialty is required
- b) excellence in clinical service as demonstrated by the development or implementation of innovative clinical or diagnostic procedures and technologies
- c) success of trainees in obtaining board certification

- d) demonstrable proficiency in teaching determined by student and peer faculty evaluations
 - e) excellence in the development and implementation of standard clinical procedures and in training residents and fellows in the application of those procedures
 - f) publications including peer reviewed publications, invited publications, reviews of clinical procedure, textbook chapters on clinical procedure, case studies, and clinical reports
 - g) international, national, and regional presentations
 - h) service on University committees and boards
 - i) service on hospital committees and boards
- 3.) Scholarly achievement for M.D. or M.D./Ph.D. with both clinical and research commitments will include a combination of both of the above categories with priority assessed according to percent of appointment allocated to each of the two main areas

Accomplishments in all areas are considered. However, one's outstanding accomplishments in a particular area, as determined by one's primary role(s), may overcome limited accomplishments in other areas. For further clarification with respect to criteria for volunteer faculty and educators, one should review points 4 and 10 in Appendix F.

IV. Professor

Attainment of the rank of Professor is an indication that, in the opinion of colleagues, the individual has made, and continues to make, outstanding contributions in teaching, patient care (if appropriate), research, and/or service, as defined under the Associate Professor rank; has achieved a high level of creative productivity in the academic arena, and has earned national and in most cases international recognition. The higher one's rank, the more he/she should be recognized for sharing his/her knowledge, skills, expertise and talents beyond the institution. It should be stressed that appointment in or promotion to this rank is recognition of outstanding accomplishments rather than of longevity of service. However, a period of five (5) years is usually the minimum time at the rank of Associate Professor after which promotion to Professor is made. As with other ranks, the following criteria should not be considered all-inclusive, but as guidelines. Any recommendation for appointment in or promotion to the rank of Professor must be accompanied by explicit documentation.

Candidates must meet the requirements for Associate Professor rank, and in addition, the following are considered:

A. National recognition by peers as an authority in his/her particular field of clinical and/or scientific endeavor.

B. Effective and devoted leadership in the educational sphere and recognition as an effective and stimulating teacher.

C. Maintenance of an active research program with continuity for prolonged periods, that has produced significant scientific contributions and/or young scholars who themselves have become productive and capable of independent investigation.

D. Innovative and significant contributions in clinical medicine and its sub-specialties which signify advancements in health care.

E. Contributions to academic life by service and leadership on College and/or UT Memphis academic committees.

F. Overall academic accomplishments and contributions, including:

1.) Membership and perhaps leadership in scientific (professional) organizations on regional and national levels.

2.) Recognition outside the institution such as through honors, invited professorships, peer-reviewed publications, participation on study sections or peer review panels, and/or appointments to qualifying specialty and subspecialty boards.

3.) Recognition within the institution through involvement on a leadership level in administration and policy-making functions.

4.) Significant contributions to public service.

(ADDITION TO APPENDIX E: LETTERS OF ENDORSEMENT)

At least four letters of reference from individuals outside of UT must be requested with at least two letters of reference obtained. All responses must be submitted with the application.

CRITERIA FOR AWARD OF TENURE TO FACULTY

Academic rank and the award of tenure are separate at the University of Tennessee. For a person appointed on tenure track formal review of the accomplishments of the individual is to be undertaken by the chair annually with the faculty member's evaluation and at the mid-point of the probationary period by the senior staff of the department.

Specific information on the award of tenure is located in Section 4, UT Memphis Faculty Handbook. The awarding of tenure is based not only on the individual's professional excellence but also includes consideration of the anticipated needs of the academic programs of UT Memphis.

Probationary Period and Interim Tenure Review:

When an individual is appointed to the faculty on a tenure track, the length of the probationary period is determined in agreement among the individual, the chair of the department and the Dean of the College. Normally, this is a period of seven years, although shorter probationary periods are utilized for more senior faculty with one full year being the shortest length permitted by the Board of Trustees.

For each faculty member on a tenure track, an interim tenure review shall be conducted at the end of the year at the mid-point of the probationary period. The review shall be conducted by the departmental promotion and tenure advisory committee and by the chair of the faculty member's department at the same time as the annual faculty performance assessment. The departmental chair shall certify in the annual performance assessment that the review has been completed and note the results thereof. The purpose of the interim review is to establish a mutual

understanding between the faculty member and the departmental leadership regarding his/her progress towards attainment of tenure. A negative interim review does not preclude the award of tenure but should place the candidate on notice of deficiencies which must be corrected before tenure could be recommended. A negative review should be accompanied by a definite plan whereby the faculty member can meet the departmental expectations which would allow a favorable recommendation at the end of the probationary period. Alternatively, an unfavorable review may lead to a notice of non-reappointment of the faculty member. This will be undertaken in keeping with the UT Memphis Faculty Handbook. A favorable interim tenure review does not commit the department to a subsequent recommendation for tenure nor the college to the award of tenure.

Some faculty may be recommended for the award of tenure earlier than one year before the end of their probationary period. However, this is an exception. Individuals recommended for the award of tenure at this time will be evaluated primarily on their accomplishments at the University of Tennessee, Memphis, and on the value of the faculty member to the institution in the future.

Further specifics pertaining to the award of tenure to and promotion of faculty are in Sections 4 and 5, UT Memphis Faculty Handbook. Annual deadlines for various reviews will be provided to academic units as guidance is received from the campus Chief Academic Office.

APPENDIX A PROCEDURES FOR INITIATION AND PROCESSING

RECOMMENDATIONS FOR APPOINTMENT TO THE FACULTY

1. A recommendation for appointment to the faculty of the College of Medicine is ordinarily initiated by the chair of the department(s) to which the faculty member is appointed. If a faculty member is to be appointed jointly in two or more departments, such nominations must be submitted, individually or jointly, by the chairs of all departments in which appointment is requested. Appointments may be made at any time during the academic year. The level of initial appointment will be determined by mutual agreement among the departmental chairs, the faculty candidate and the Dean of the College of Medicine. The criteria for appointment at any given rank are identical to those stated previously.
2. When the departmental chair submits a nomination for new appointment to the Dean, the following additional documents must also be submitted:
 - a. Certified copies of the documentation of degree work and experience
 - b. An up-to-date curriculum vitae constructed according to the format in Appendix D.
 - c. Two supporting letters of recommendation are required. Guidelines for these letters are described in Appendix E. For potential new faculty members who have previously held faculty or traineeship positions at UT or affiliated institutions, the letters may be internal. For potential new faculty members who join UT Memphis from another institution, the letters should be from that institution, or other sources outside UT Memphis, or both. For potential faculty members who are non - M.D.'s and who are being considered for their first faculty appointment or who have completed their highest degree within the past three years, one of the letters of recommendation should ordinarily be from the major professor supervising the award of the degree.
 - d. For faculty whose native language is not English, a completed "Certification of Effective Communication in English" will be submitted as required by The Board of Trustees.
 - e. The following requirements for supporting letters relate to individuals nominated for appointment to the full-time, part-time or affiliated faculty. Additional letters from UT Memphis or external faculty may be submitted at the discretion of the departmental chair.
 - 1) For any recommendation for appointment to professor, the letters of endorsement must be from professors at institutions other than UT Memphis.
 - 2) For any recommendation for appointment to associate professor, the letters of endorsement must be from faculty members at the rank of associate professor or above. In the event that supporting letters from a faculty member cannot be obtained because of factors beyond the control of the nominee, letters of endorsement from scientists at academic and/or research institutions will be accepted. A statement explaining the situation should accompany the nomination.
 - 3) For any recommendation for appointment to assistant professor or instructor, the letters of endorsement must be from two faculty members at least one rank higher than that of the appointee.
 - f. In the case of an individual appointed to the volunteer faculty at a particular clinical or adjunct rank, letters of recommendation may be submitted from regular or volunteer faculty members at the same rank or higher than that of the appointee in that department.

**APPENDIX B
PROCEDURES FOR
INITIATION AND PROCESSING RECOMMENDATIONS
FOR PROMOTION AND AWARD OF TENURE TO
FACULTY**

1. A recommendation for promotion of or award of tenure to a faculty member of the College of Medicine is ordinarily initiated by the chair of the department(s) in which the faculty member is appointed. An individual faculty member has the privilege of requesting his/her own promotion or award of tenure. Such a request should conform to the relevant stipulations of this document and to those in Appendix C, and it should be directed ordinarily to the departmental chair(s). In the case of a faculty member who holds a joint appointment in two or more departments, promotion may take place in one department without its occurrence in the other department(s). In any case, nominations must be submitted, either individually or jointly, by the chairs of all departments in which a promotion is requested. Award of tenure is recommended by the chair of the jointly appointed faculty member's base department, although tenure is an institutional responsibility.

2. **A. Promotion**

For requests for promotion, the chair of any department must convene a promotion advisory committee consisting of at least five members. The promotion advisory committee may have more members as long as each member is a faculty member (full-time, part-time, affiliated, or volunteer) of that department with a majority of the members holding a full-time appointment in that department. Whenever possible, the promotion advisory committee should consist of faculty members of equal or higher academic rank than the rank of faculty being proposed for promotion. The chair shall not be a voting member of this committee, but may be present to hear the discussion of the committee members. This committee will review all properly documented recommendations for promotion, and submit its recommendation to the department chair. The committee may review a request from the department chair, initiate such recommendations itself, or review a request from a faculty member regarding his/her own promotion. 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 and forward it to the department chair. A copy of this letter must accompany all promotion requests forwarded to the Dean's Office.

B. Tenure

For requests for the award of tenure, the chair of any department consisting of at least five tenured faculty members (whether holding a primary or secondary appointment in that department), in addition to the chair, must convene a tenure advisory committee. The committee may have more members as long as all members are tenured within UT Memphis and are members of that department. A majority of the members must hold a primary appointment in the department. The chair shall not be a voting member of this committee, but may be present to hear the discussion of the committee members. This committee will review all properly documented recommendations for the award of tenure, and submit its recommendation to the department chair. The committee may review a request from the department chair, initiate such recommendations itself, or review a request from a faculty member regarding his/her own tenure. 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 and forward it to the department chair. A copy of this letter must accompany all requests for the award of tenure forwarded to the Dean's Office.

C. Departmental Committee

Departments may convene separate advisory committees for promotion or tenure requests or have the same committee consider both, as long as only tenured faculty vote for the award of tenure requests.

3. The department chair reviews and considers the recommendations of the departmental promotions advisory committee. On the basis of these recommendations, he/she then formulates a letter of nomination, according to the format in Appendix C, to be forwarded to the Associate Dean of Academic and Faculty Affairs. The chair should include in his/her letter of nomination a statement regarding the opinion and vote of the departmental advisory committee, if one was convened. Should the chair nominate an individual for promotion or the award of tenure in contrast to a negative recommendation of the departmental advisory committee, this fact must be noted in the chair's nominating letter and the reasons for the chair's action must be justified. With respect to tenure, the departmental committee may forward a dissenting report to the Dean.
4. Individuals whose request for promotion is denied at the department level may appeal this action to the Dean and/or via procedures outlined in the faculty handbook. All tenure recommendations from the Department, whether positive or negative shall be reviewed by the Dean.
5. The nomination letter from the department chair or division chief, constructed according to the format in Appendix C, must be accompanied by:
 - a An up-to-date curriculum vitae constructed according to the format in Appendix D This is required before any request can be considered by the Committee on Academic Appointments and Promotions.
 - b Letters of endorsement are required for recommendations for promotion of and award of tenure to faculty. Additional information on letters of endorsement is provided in Appendix E.
6. All recommendations and supporting documents will be forwarded by the departmental chair to the Associate Dean for Academic and Faculty Affairs of the College of Medicine by each stipulated annual deadline
7. Each recommendation will be presented to the Committee on Academic Appointments and Promotions. The Committee will make a positive or negative recommendation on each nomination to the Associate Dean for Academic and Faculty Affairs, for transmittal to the Dean. The recommendation of the Committee will represent the will of the majority of those present, but the minority views may also be transmitted. Further specifics about the structure and charge of the CAAP are indicated in Appendix G.
8. The Dean will make a decision on each recommendation based on the advice of the Committee on Academic Appointments and Promotions, on the advice of the Associate Dean for Academic and Faculty Affairs, and on the basis of other circumstances. On those recommendations in which the Dean concurs, he will so advise the chair making the

recommendation. The recommendation with all supporting documents will then be forwarded to the Chief Academic Officer in the Chancellor's Office for further processing.

9. If the Committee on Academic Appointments and Promotions renders a negative recommendation, the Department is informed in writing of the reason(s) for the recommendation. The Department may appeal back to the Committee or directly to the Dean before the decision at the college level is made by the dean. The ultimate decision on the promotion of or award of tenure to a faculty member at the college level should be largely the result of negotiations between the Dean and the departmental chair with the Dean having the final responsibility. In the case of a negative decision by the Dean on a request for promotion or the award of tenure, the individual faculty member will be informed in writing of the decision prior to or at the same time as the Dean forwards the recommendation to the Campus Academic Office.

APPENDIX C PREPARATION OF PROPOSAL LETTER

A letter nominating a faculty member for promotion or award of tenure must include the following:

- a. Name of individual
- b. Date of original appointment
- c. Date of each prior promotion, if applicable
- d. Date of award of tenure, if applicable
- e. Date on which promotion or tenure is to become effective
- f. Individual's discipline or field
- g. Information in the outline below

In preparation of the letter, the chair should be aware that the letter of proposal will be read by members of the Committee on Academic Appointments and Promotions (CAAP) and may be read by the candidate and other appropriate individuals associated with the University of Tennessee.

The following outline describes some examples of important, specific information of which a department chair may be more knowledgeable than the CAAP. Provision of this and other academically-related data is needed for a fair and detailed evaluation by the CAAP and may be of decisive value. The use of this outline in preparation of the proposal letter will facilitate consideration by the CAAP. All items may not be applicable to every faculty member. Therefore, the items contained herein need not be addressed rigidly, but serve only as a guide to aid the chair in writing the strongest possible letter of nomination. The letter must be accompanied by an up-to-date curriculum vitae on the individual, constructed according to the format in Appendix D. A format for the departmental chair's letter recommending promotion and/or tenure is included at the end of this Appendix.

A. TEACHING

1. Specific role(s) in:
 - a. Curriculum and/or course planning
 - b. Active participation in teaching students
 - c. Active participation in extramural educational activities
2. Peer review of nominee's teaching performance
3. Information derived from students regarding teaching competence and effectiveness. This applies in particular to teaching by example and by word while carrying out clinical duties, and stimulating and effective contributions to departmental conferences, seminars and other academic discussions
4. Special teaching accomplishments and skills
 - a. Founded a course or developed a manual, etc.
 - b. Innovative seminar or conference leader
 - c. Teaching award(s)
5. Number and names of trainees (Graduate Students, Post-doctoral Fellows, etc.) and their accomplishments in mentor's lab and subsequently (usually recorded in the curriculum vitae)

6. Special contributions:
 - a. Role in Grand Rounds, intra and/or extramurally
 - b. Invited participant in conferences of other departments/divisions
7. National educational activities:
 - a. Editor, on editorial board of, or expert consultant to, refereed publications
 - b. Visiting professorships, named lectureship, significant participation in educational programs or medical societies
8. Academic rank and educationally-related accomplishments at other institutions in which previously appointed
9. Individual honors and recognitions

B. CLINICAL ENDEAVORS

1. Document significant clinical accomplishments:
 - a. Development of new or improved methods of practice or the administration related thereto, etc.
2. Peer status
 - a. Board and/or subspecialty certification (usually already recorded in the curriculum vitae)
 - b. Department “expert” on
 - c. Recognition of clinical expertise
3. Individual honors and recognitions

C. RESEARCH

1. Specific accomplishments and significance thereof, keyed where possible to specific published work
2. Grant Support:
 - a. Subjects and extent of
 - b. Candidate’s role in the projects
3. Work in progress
4. As regards a candidate’s published scholarly contributions:
 - a. Designate by number(s) or title(s) those specific publications which are:
 - i) Particularly significant
 - ii) Particular contributions to the knowledge of a field or specialty
 - b. Identify candidate’s role(s) as co-author
 - c. Identify the status (peer reviewed or not) of journal(s) and other publications to which the candidate has contributed
 - d. Indicate papers or other contributions accepted for publication or in advanced stages of preparation
 - e. Indicate abstract activity (evident when bibliography is complete)

5. NIH Study Section or equivalent extramural appointment(s)
6. Individual honors and recognitions

D. SERVICE AND ADMINISTRATIVE RESPONSIBILITIES

1. Role in different Departmental committees
2. Role in different College committees and/or subcommittees
3. Role in UT Memphis committees or activities
4. Significant administrative responsibilities, especially those which may not be well known outside of the department
 - a. Deputy Chair
 - b. Chair (or member) of Departmental or Divisional committees for education, research, practice, advanced trainees' admissions, etc.
 - c. Director and/or developer of Departmental units, special clinics, etc.
5. Role in extramural administrative activities

E. OTHER INDIVIDUAL ACCOMPLISHMENTS

1. Significant election to a society
 - a. Status of the society in the field
 - b. Criteria for election
 - c. Relevance to academic rank (membership in the senior society (ies) with restricted membership strengthens proposals for promotion to senior ranks)
2. Activities in societies, foundations, or similar local, regional or national professional organizations
 - a. Officer
 - b. Committee member or Chair
3. Special awards, e.g., from Universities, Societies, etc.

Optional letters from individuals from institutions other than UT Memphis may be submitted to attest to the accomplishments of the candidate. Such letters are likely to be most useful when the candidate works in a relatively restricted field, when there are issues of differences in standards used by different institutions for academic advancement in some specialty areas, or when a faculty member on a short tenure track has spent a significant proportion of his/her academic career at another institution. External letters are required for appointment of individuals transferring from another institution and for individuals being appointed or promoted to the rank of professor on the regular or volunteer faculty.

**FORMAT FOR DEPARTMENTAL CHAIR'S LETTER TO COLLEGE DEAN
RECOMMENDING PROMOTION AND/OR TENURE**

Dear ():

I recommend (name) for (promotion and/or tenure) (to/in) the rank of (rank) of (department).

In support of this recommendation, I attach a current curriculum vitae and submit the following supporting information:

A. Teaching.

[Detail all teaching responsibilities and assignments, as applicable. Include any continuing education activities. Evaluate performance in each, including interactions with students.]

B. Patient Care.

[Detail responsibilities, as applicable. Evaluate performance.]

C. Research.

[Detail research activities and accomplishments. Evaluate past performance and significance of accomplishments. Project future accomplishments and potential, as related to this recommendation.]

D. Service.

[Detail responsibilities, as applicable. Evaluate accomplishments.]

E. Other Activities.

[Detail any additional activities that relate to this recommendation. Include all interaction with colleagues. Evaluate accomplishments.]

Sincerely,

FORMAT FOR PREPARATION OF CURRICULUM VITAE

Date of Preparation _____

CURRICULUM VITAE

NAME:

BIRTHDATE: (OPTIONAL)

BIRTHPLACE: (OPTIONAL)

EDUCATION:

Undergraduate:

College attended, dates (month, year), degree, date of degree

Graduate/Medical School:

College or school attended (inclusive months, years:

e.g., July, 1981-June, 1985), degree, date of degree (month, year)

Internship:

Type, hospital(s), dates (inclusive months, years)

Residency:

Type, hospital(s), dates (inclusive months, years)

Postgraduate:

Type, location(s), dates (inclusive months, years)

HONORS:

Phi Beta Kappa, AOA, Sigma Xi, etc., institutional, regional, national and international awards

MILITARY SERVICE:

Branch, dates served, training in service, current status

BOARD CERTIFICATION:

Board name, date of certification

MEDICAL LICENSURE:

State, number, date issued, status

SOCIETY MEMBERSHIPS:

UNIVERSITY APPOINTMENTS:

Chronological, from most recent to earliest—type and rank of appointment,

University name, location, dates (inclusive months, years)

HOSPITAL APPOINTMENTS:

Chronological, from most recent to earliest—name of hospital, type of appointment

(active, consultant) offices held

PRACTICE (PROFESSIONAL) EXPERIENCE:

For those at any time in administration or in practice of medicine (not as a faculty member)

List chronologically from most recent to earliest

TEACHING EXPERIENCE: (Actual student contact hours and number of students in class)

VISITING PROFESSORSHIPS AND INVITED LECTURES: List dates and locations

EDITORIAL APPOINTMENTS:

Journals, Books

Name of journal, publisher, dates of appointment (or date of publication if single volume)

COMMITTEES AND OFFICES HELD (include dates served):

Include departmental and institutional committees, grant advisory committees, study sections, journal review assignments, offices held in organizations, national and regional committees and offices, consultant appointments and board examiner or member appointments

FELLOWS/GRADUATE STUDENTS TRAINED:

Name, degree, inclusive dates, degree awarded, if any, as a result of this training

RESEARCH AND OTHER EXTERNAL SUPPORT: (optional)

List agency from which support derived, title of project or program, dollar amount and inclusive dates Include past and current

PUBLICATIONS (BOOKS AND BOOK CHAPTERS)

Contributions numbered in chronological sequence

Authors in exact order listed; title of paper; name of publication; editors; location of publisher; date of publications; inclusive pages

PUBLICATIONS (JOURNALS)

Papers numbered in chronological sequence

Authors in exact order listed; title of paper; name of journal; volume; inclusive pages, date of publication (month, day, year); note if letter

PUBLICATIONS (Innovative Interactive Educational Media and Technologies; e.g., multimedia, CAI, Internet, electronic media)

BOOK REVIEWS:

Numbered in chronological sequence

Your name; Review of—name of item reviewed; author(s) or editor(s); publisher; location of publisher; name of publication in which review appeared; volume; inclusive pages; date of publication of review (month, day, year)

ABSTRACTS PRESENTED AND PUBLISHED:

Authors in exact order listed; title of abstract; where presented (i.e. society or organization); abstract published in—name of publication, volume, inclusive pages, date of publication.

ABSTRACTS PUBLISHED, BUT NOT PRESENTED:

Authors in exact order listed; title; abstract published in—name of publication, volume, inclusive pages, and date of publication

DO NOT INCLUDE HOBBIES AND NONPROFESSIONAL ACTIVITIES

**APPENDIX E
LETTERS OF ENDORSEMENT**

- 1 The minimum number of endorsement letters for all nominations is two, and the maximum number of letters is four. The College of Medicine Committee on Academic Appointments and Promotions may request, from the department, additional letters of endorsement during the process of reviewing any nomination for promotion and/or the award of tenure
2. The table below outlines what the rank of the individual writing a letter of endorsement should be for the promotion of an individual to a certain rank:

Rank Of Promotion

	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Professor</u>
Regular Faculty	Assoc. Prof. or higher at UT or other institution	Assoc. Prof. or higher at UT or other institution	Professor at other institution
Volunteer Faculty	Asst. Prof. or higher, regular or volunteer faculty at UT or other institution	Assoc. Prof. or higher, regular or volunteer faculty at UT or other institution	Professor at other institution

Thus, for any recommendation for promotion to assistant professor on the regular faculty or associate professor on the regular or volunteer faculty: at least two letters of endorsement must be submitted from faculty members, preferably at the associate professor rank or above, either at UT Memphis or at other institutions. For any recommendation for promotion to assistant professor on the volunteer faculty: at least two letters of endorsement must be submitted from faculty members, at the assistant professor rank or above, on the regular or volunteer faculty at UT Memphis or at other institutions. For any recommendation for promotion to professor on the regular or volunteer faculty: two letters of endorsement must be submitted from professors at institutions other than the University of Tennessee System. Exceptions will not be made for this requirement.

- 3 For any recommendation for the award of tenure: at least two letters of endorsement must be submitted from faculty members at the associate professor rank or above, at UT Memphis or at other institutions.
4. All letters of endorsement must describe the relationship (current and previous) between the individual writing the letter of endorsement and the nominee for promotion and/or the award of tenure.
5. Individuals who write letters of endorsement should address one’s knowledge of the faculty member and evaluate his/her abilities as an educator, clinician, scientist or leader / administrator. The letter of endorsement is an objective evaluation of one’s accomplishments, and professional standing. Members of the Committee on Academic Appointments and Promotions (CAAP) review the faculty member’s curriculum vitae (CV) along with the letters of endorsement. Thus, one should not outline or recite the faculty member’s CV in the letter of endorsement.
6. The letter of endorsement is governed by the Open Records Law of the State of Tennessee and may be reviewed by the faculty member.

**APPENDIX F
POLICY AND PROCEDURES REGARDING FACULTY APPOINTMENTS OF
A SPECIAL NATURE**

This appendix on appointments deals with nine areas of a special nature:

1. Appointment of part-time faculty members.
2. Appointment of limited term faculty such as graduate and postgraduate physicians in training programs in clinical disciplines, and non-physician postdoctoral fellows in the biomedical sciences.
3. Appointment of affiliated faculty members.
4. Appointment of volunteer faculty members.
5. Joint appointments.
6. Appointment of non-physician health care professionals, at less than a doctoral level.
7. Appointment of persons who are not biomedical or related scientists (secondary appointment) and who hold professional administrative positions.
8. Appointment of staff in interdisciplinary programs.
9. Criteria and procedure for award of Emeritus Status.

Further specifics on such appointments can be found in Section 5 of the UT Memphis Faculty Handbook at: <http://www.utmem.edu/Facsenate/handbook.php>

Point 1 (Part-time Faculty):

A part-time faculty member has been defined in the UT Memphis Faculty Handbook as one “who receives some pay from the University (on a regular or irregular basis) for services performed and may receive University benefits as defined.” The document which contains these definitions indicates further that one who performs such services on a regular basis “may have a regular faculty appointment”. However, the document does not state that one who performs a service on an “irregular basis” may not have a regular appointment.

A person who accepts a part-time faculty appointment has made a commitment to the University relative to time and effort. The University, in offering a part-time faculty appointment to a person, also assumes an obligation and makes a commitment to that person. The commitments made by the University and the person will be spelled out clearly in the appointment documents, so that no misunderstanding occurs on the part of either party involved. This appointment will be reviewed annually and its renewal each year will depend totally on positive action by the University. It cannot be assumed that the appointment will continue without that positive action.

In view of the fact that a part-time faculty member makes a commitment to the University relative to time and effort, for which he or she receives regular payroll remuneration from the University, such a faculty appointment may be a regular appointment without eligibility for tenure or, if paid on a contract-for-services basis, may be a special appointment with the prefix, “Clinical” or “Adjunct”, as determined by agreement between the department chair and the faculty member. If such a person later becomes a full-time faculty member, by agreement the years in which he or she was a part-time faculty member may be considered as part of a probationary period after which a recommendation for awarding tenure may be made.

Point 2 (Limited Term Faculty):

Specifics about time-limited or funding-limited term appointments are indicated in Section 5.2.2, UT Memphis Faculty Handbook. However, there are two time-limited appointments for residents or postdoctoral fellows that need clarification. Department chairs have the prerogative of recommending to the Dean that chief residents and physician postdoctoral (post-residency) fellows

be appointed to the faculty at the instructor level. Such time-limited appointments must be limited to the term of the appointment as chief resident or fellow and are not on a tenure track. If the person is later appointed to permanent faculty, all Equal Employment Opportunity and Affirmative Action requirements must be fulfilled prior to offering an appointment to the permanent faculty. If the permanent appointment is proposed at the Assistant Professor level, it is considered a promotion and must be processed within the College of Medicine as such rather than as a new appointment at a higher rank. Affirmative Action must be met, as this will be considered a new position for affirmative action purposes. If the permanent appointment is on a tenure track, the time spent in the earlier appointment may count as part of the probationary period after which tenure can be recommended. Such credit for the earlier appointment will be a joint agreement between the faculty member and the administration.

Relative to the appointment of physician postdoctoral (pre-residency) fellows and non-physician postdoctoral fellows with Ph.D. or equivalent degrees in the biomedical sciences, department chairs have the prerogative of recommending to the Dean appointments of advanced postdoctoral fellows, at the third year level or beyond, as instructors. Such time-limited appointments must be limited to the term of the postdoctoral fellowship and do not include eligibility for tenure. If, however, the person is later appointed to a tenure earning position, the time spent in the earlier appointment may count as part of the tenure probationary period. As with appointments for chief residents and physician postdoctoral fellows, permanent appointments for these individuals must fulfill Equal Employment Opportunity and Affirmative Action requirements. If the permanent appointment is at the level of Assistant Professor, it will be considered within the College of Medicine as a promotion and processed as such.

Point 3 (Affiliated Faculty):

The Veterans Administration Medical Center is an affiliated institution in which appointments to the faculty of the full-time physician professional staff of the Veterans Administration Medical Center are the same as the full-time faculty except that such appointees (full-time VAMC) are not normally eligible to be placed on a tenure track. With this exception, academic policy items relative to full-time faculty thus apply to the full-time physician and other doctoral level professional staff of the Veterans Administration Medical Center who are appointed to the faculty. A VAMC faculty may be eligible for a tenure track appointment under certain circumstances.

Other affiliated institutions which have their own full-time paid professional staffs may have an affiliation agreement with the University which stipulates that University appointments may be offered. The recommendation for appointment of a member of the staff of an affiliated institution to the faculty of the UT Memphis College of Medicine is made at the discretion of the chair of the appropriate department of the College of Medicine, based upon the staff member's contribution to the program of that department. The staff member of the affiliated institution, if awarded a faculty appointment in the College of Medicine, is responsible to the chair of that department for his or her activities as a faculty member in that department, whether carried out in the affiliated institution or elsewhere.

An affiliated appointment is a regular appointment not on a tenure track. The appointment is to be re-evaluated annually relative to a continuing role in the respective department. Salary support for the position may be derived only from the affiliated institution or from both that institution and the University.

Point 4 (Volunteer Faculty):

A volunteer faculty member performs a voluntary service on behalf of the University without monetary compensation. The criteria stated for a "special" appointment at, and or promotion to,

various faculty ranks apply to volunteer (clinical or adjunct) faculty in a manner similar to their application to part-time and full-time faculty, unless exceptions are explicitly stated. The primary function of a clinical volunteer faculty member is to frequently participate in teaching activities; therefore, teaching contributions and accomplishments are weighed heavily in reviewing the credentials for a volunteer faculty appointment or promotion to specific academic ranks. Specifically, examples of the individual nominee's participation, performance and accomplishments in teaching activities must be carefully documented in the letter of nomination, endorsement letters and the nominee's curriculum vitae. Information relating to the individual's contact hours with students, specific teaching responsibilities and time spent in those activities, students and house staff evaluations of an individual's teaching, and the individual's participation in departmental activities overall must be provided in order to assess individual nominee's credentials for a volunteer faculty appointment.

Whenever a volunteer faculty member moves from the volunteer faculty to the regular faculty (including an affiliated faculty appointment), reassessment of faculty rank is necessary. Moreover, a transfer from the volunteer faculty to the regular faculty requires a review of credentials by the Committee on Academic Appointments and Promotions in a manner analogous to that of a new faculty appointment.

Point 5 (Joint Faculty Appointments):

Joint appointments of faculty members in more than one department in the College of Medicine are often of mutual benefit to the departments involved and to the goals of the College of Medicine in general. Such joint appointments in more than one department of the College of Medicine are considered for approval by the Dean when requested by the different department chairs involved.

In case of joint appointments, the person who is to receive a joint appointment should have documented credentials in the discipline of each department. In addition, the joint appointee should have a documented bona fide role in each department. It is the responsibility of the chair of each department involved to reach an agreement on a joint appointment and to make a joint recommendation to the Dean, with the agreement of the faculty member involved. The academic rank need not be the same in both departments and if different, generally is higher in the base department. In considering joint appointments, department chairs should bear in mind the value to the entire institution, not just to his or her own department. Individuals holding joint appointments should be evaluated by all respective departmental chairs annually for their contributions to each department.

Point 6 (Appointment of Faculty Without Terminal Degrees):

Relative to academic faculty appointments for people with less than a doctoral level degree, and for non-physician health care professionals (this is defined as medical social workers; nurses, including nurse practitioners, midwives and other nurses in physician-extender roles; audiologists; physical therapists; occupational therapists, and others), these persons are ordinarily not eligible for faculty appointments, but may be appointed to another category (such as "Research Associate"). There is a personnel policy for this category and these guidelines must be followed as well. Faculty appointments should ordinarily be sought in the appropriate other colleges that make up UT Memphis, i.e., in the College of Nursing or College of Allied Health Sciences.

In any specific case, a department chair may petition the Dean for exception to the above policy and request a faculty appointment based on special credentials demonstrated by the appointee. The role undertaken by the appointee cannot substitute for credentials for faculty appointment, but may be taken into consideration.

Point 7 (Secondary Appointment as Faculty):

A professional-administrative staff member of the College of Medicine may be nominated for a secondary academic appointment in an appropriate department on the basis of appropriate credentials.

Point 8 (Interdisciplinary Programs):

The portion of the policy regarding staff of interdisciplinary programs deals with clarification in the College of Medicine for individuals recruited primarily to positions in interdisciplinary programs.

- 1) A faculty appointment for a person appointed to the staff of an interdisciplinary program must be in an existing department of the College.
- 2) As in all other categories of appointments, the primary criterion for the faculty appointment of a member of the staff of an interdisciplinary program is credentials. An additional criterion is the participation of the person in the academic program of the department in which he or she holds a faculty appointment or is to be appointed. For that participation, the faculty member must be responsible to the chair of that department.
- 3) The joint appointment of a person in an interdisciplinary program and in a department is, in general, in the best interest of the appointee, the interdisciplinary program, the department, the College of Medicine, and UT MEMPHIS, and is to be encouraged. However, it requires a spirit of close cooperation between the director of the interdisciplinary program and the department chair. They should jointly plan the roles to be carried out by the appointee in the interdisciplinary program and in the department, as well as levels and sources of compensation. They should jointly recruit for the position and work closely together to make the joint appointment a success.

Point 9 (Emeritus Faculty):

- 1) Criteria for Emeritus status:

Emeritus status is granted upon retirement from the University to those individuals who have distinguished themselves in service to the institution and who have received national recognition for their academic contributions. The status is not granted automatically upon retirement of a full professor, but rather upon the recommendation of the faculty member's departmental chair and the Dean of the College of Medicine and subsequent approval of the Chancellor. The status is usually reserved for individuals retiring at the rank of full professor, and such individuals are designated as Emeritus Professor. An individual retiring at a lower rank may, in special circumstances, be granted the status of emeritus, following the same procedure as follows.

- 2) Procedure for Granting Emeritus Status:

Approximately three months prior to an individual's retirement from the University, the departmental chair should submit to the Dean a recommendation for granting of emeritus status, along with an updated curriculum vitae. The chair's recommendation letter should specify the individual's outstanding contributions to the University.

The Committee on Academic Appointments and Promotions will review the individual's credentials and advise the Dean. The Dean will then either support or reject the chair's nomination for emeritus status. When an emeritus nomination is approved by the Dean, the recommendation is forwarded to the Chancellor, asking that emeritus status be granted. If in concurrence, the Chancellor will officially notify the individual in writing of the emeritus award. The Chancellor can reject a nomination for the award of emeritus status.

The Chancellor's letter of notification to the individual involved serves as official documentation of the faculty member's emeritus status. No other documentation is required. Annual reappointment letters are not required since this is a lifetime award.

APPENDIX G
COLLEGE OF MEDICINE
COMMITTEE ON ACADEMIC APPOINTMENTS AND PROMOTIONS
STRUCTURE AND CHARGE

The Committee on Academic Appointments and Promotions (CAAP) is responsible for (1) reviewing and recommending policies, procedures and programs in the area of appointments, promotions, and tenure of the faculty of the College of Medicine to the Dean of the College of

Medicine; (2) implementing and evaluating procedures on appointments, promotions, and tenure of faculty; (3) reviewing and recommending to the Dean action on all individual nominations by department chairs for appointment at the level of assistant professor or above, promotion, and award of tenure (The Associate Dean for Academic and Faculty Affairs reviews nominations for appointment at the instructor level and, at his/her discretion, may seek a recommendation from the CAAP, before making recommendations to the Dean); and (4) participating in the sixth-year cumulative performance review as specified in Section 4 of the UT Memphis Faculty Handbook.

Members of the CAAP are appointed by the Dean of the College of Medicine on the recommendation of the Associate Dean for Academic and Faculty Affairs and in consultation with the President of the DAC. The Associate Dean for Academic and Faculty Affairs shall serve as Chair of the CAAP.

Members of the CAAP assume a weighty responsibility in reviewing the academic credentials of present and aspiring faculty colleagues. Because of the importance of this task and the confidential nature of the material under consideration, College of Medicine faculty members chosen to serve on the CAAP should be individuals whose own academic accomplishments and personal qualities have earned them a high level of respect among their peers. In addition to the chair, the Committee shall consist of a minimum of fourteen members, and shall ordinarily include:

- At least three tenured faculty members from basic science departments on the Memphis campus
- At least three tenured faculty members from the clinical science departments on the Memphis campus
- A faculty member from the Knoxville Unit
- A faculty member from the Chattanooga Unit
- A faculty member from the VAMC
- A faculty member from St. Jude Children's Research Hospital
- A minority tenured faculty member
- A female tenured faculty member
- Two members elected by the faculty of the College of Medicine
(one basic science tenured faculty member and one clinical science tenured faculty member)
- A volunteer faculty member

The categories listed are not intended to be mutually exclusive. In general, members of the CAAP should be drawn from the tenured faculty in the College of Medicine. This will not be possible in the case of the volunteer faculty member, and certain other members (e.g., St. Jude, VAMC) who may not have been awarded tenure. Members shall serve three-year terms and, in general, shall not be eligible for reappointment within three years of the expiration of the original appointment. The CAAP shall meet regularly, and in special session as required, to consider nominations for appointment, promotion and tenure or other matters of concern to the Committee. For both promotion and tenure requests, at least seven members, in addition to the chair will be present for each meeting. For requests for the award of tenure, only tenured members will vote. A simple majority vote by show of hands is necessary to approve a recommendation with the chair only voting in cases of a tie vote. Committee members from the same Department as a faculty member who is being nominated will leave the room during the discussion and vote by the committee.

Section Four

Annual Performance and Planning Review of Faculty

Annual Performance and Planning Review

Specific Guidance is received from the chief academic officer in April on the review.

The goals of this review are:

- a. To facilitate communication between the faculty member and the chair*.
- b. To clarify the individual faculty member's goals and expectations for the coming academic year as well as long range.
- c. To clarify departmental goals and the faculty member's mile according to the chair's expectations.
- d. To recognize areas of exceptional performance by the faculty member.
- e. To identify areas of performance which deserve additional effort by the faculty member.
- f. To develop documentation that will facilitate objective determination of salary, promotion, and tenure recommendations.

*Responsibilities assigned to the chair in large departments, may be delegated to other individuals, with the approval of the college dean.

Performance review of all faculty must be completed no later than June 30th. The desired elements of this review include the following:

- a. Chair requests from each faculty member: (1) a summary of activities and accomplishments for the academic year beginning July 1, and (2) a summary of the faculty member's goals for the coming academic year beginning July 1; these are to be completed by May 1 of the subsequent year.
- b. During May and June, the chair discusses with each faculty member his/her accomplishments and activities during the previous academic year, and reviews the faculty member's performance in teaching, scholarly activities, service, and patient care, as appropriate for the individual faculty member. For individuals on tenure track appointments, this discussion must include the faculty member's progress toward tenure consideration. The following should be considered, if appropriate, in the performance review in each category:

Teaching - Consider quality of instruction, interaction with students, level of participation, number of courses, number of contact hours, case loads, etc. Review should be obtained from all programs (both intra and inter-college) in which the faculty member participates.

Patient Care-(if applicable) Consider quality and quantity of patient care, consultant role, etc

Scholarly Activities - Consider research completed, research in progress, grants received, presentations delivered, papers published, continuing education activities, etc.

Service - Consider committee participation, administrative assignments, consultant ships, office held, etc.

It is the responsibility of the chair to include in the performance review for all faculty, a discussion of the UT Memphis Statement on Faculty Service Responsibilities dealing with faculty workload and extra service compensation (attachment 1).

- c. The chair prepares a narrative summary of the discussion, including assessment in each category, and his/her expectations of the faculty member for the coming academic year beginning July 1 to be attached to the performance assessment document. Again, for faculty on tenure track appointments, the narrative should document faculty member's progress toward tenure.
- d. The faculty member should be provided* with the review summary as soon as possible after the discussion. The faculty member may prepare an optional response* to the review and the chair's expectations; this should be attached to the performance assessment document.
- e. The faculty member's goals for the next academic year, with the chair's comments, if required, should be attached to the performance assessment document.
- f. The faculty performance document, with attachments, should be signed by both the chair and faculty member. The original should be retained in the departmental office with complete copies provided to the dean of the college and the faculty member by June 30.

The chair reviews each faculty member in the appropriate categories. In addition to the performance review in each category, the chair should, when appropriate, comment upon outstanding performance, or ways in which performance can be improved. Finally, the chair should assess the overall performance of the faculty member and assign one of the performance ratings listed on the back of this form for the FACULTY PERFORMANCE ASSESSMENT SUMMARY. The faculty member should, if desired, enter a self-evaluation the column headed "Faculty."

Upon completion of the review process, and no later than July 15, chairs should forward to the chief academic officer, a signed Certification of Faculty Review (Form 0004).

Appendix J

Procedure for the Annual Performance-and-Planning Review

General Information: UTHSC Administrative Policy 1.110

The assignment of faculty workloads is the delegated responsibility of the Department Chair. The Chair is responsible for the equitable assignment of faculty responsibilities and assures an appropriate balance of time and effort committed to teaching, research, public service, and if applicable, patient care. It is expected that faculty will devote full-time to their academic duties, unless released time is officially approved.

Each spring, the Chair and individual faculty member agree upon the faculty member's goals and the Chair's expectations during the upcoming year. This process and these expectations are documented as part of the annual faculty evaluation [i.e., Annual Performance-and-Planning Review]. Specific teaching assignments are usually made on a semester basis by the Department Chair.

Educational activities in a health science center necessarily involve patient care, sophisticated research, and teaching of rapidly changing and complex biomedical sciences. As is customary in most health science centers, faculty at UTHSC are assigned to specific duties consonant with their individual expertise in teaching, research, or patient care. Faculty are expected to engage in research (or equivalent scholarly activities), patient care, or both as necessary elements of health science education.

Definitions and Applications of Faculty Performance Ratings

On June 19, 2003, the Board of Trustees approved a four-category scale for faculty performance ratings. Please read carefully the following definitions, as these will be applied for this year's Annual Performance-and-Planning Review.

EXCEEDS EXPECTATIONS FOR RANK: This rating designates that during the evaluation period the individual achieved and consistently exhibited unique and highly meritorious levels of professional performance. This rating will be assigned to an individual who achieves uncommon levels of meritorious performance in his or her field; and makes meaningful and significant contributions to the mission, goals and objectives of the department, college, and university, as well as to his or her professional field. Eligible for significant merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations.

MEETS EXPECTATIONS FOR RANK: This rating designates that during the evaluation period, the faculty member achieved and consistently exhibited the level of the expected performance on the agreed-upon goals and objectives. Eligible for minimum merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations.

NEEDS IMPROVEMENT FOR RANK: This rating designates that during the evaluation period, the individual exhibited a level of performance that did not consistently meet all the agreed-upon goals and objectives. This rating will be assigned to an individual who may require some assistance or feedback in achieving and sustaining a level of professional performance necessary to meet the agreed-upon goals and objectives. This rating is intended primarily as a means of formally communicating that a special effort must be made in addressing specific performance deficiencies.

When this rating is given, it should be accompanied by a commitment by the Department Chair to assist the individual in identifying the mechanisms for overcoming the detected deficiencies, as deemed appropriate. This rating is a negative rating. The Chair and the faculty member must develop a written plan with a specific time frame, whereby the faculty member can meet the departmental expectations within the next year; this plan must be contained in the summary of the Annual Performance-and-Planning Review. A faculty member whose performance is rated as “needs improvement” shall be **ineligible** for rewards (including salary increases), and must provide to the Chair a written Interim Progress Report of remedial steps taken on his or her performance in area(s) noted as “unsatisfactory”, with copies forwarded to the Dean.

UNSATISFACTORY FOR RANK: Unsatisfactory Performance in Teaching, Research, or Service is defined as adequate cause for termination of a faculty member’s appointment and includes the following:

- a. Failure to demonstrate professional competence in teaching, research, or service; or
- b. Failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to (1) failure to comply with a lawful directive of the Chair, Dean, or UTHSC Vice Chancellor for Academic Affairs with respect to the faculty member's duties or responsibilities; or (2) inability to perform an essential function of the faculty position, given reasonable accommodation, if requested.

This rating is a negative rating. The Chair and the faculty member must develop a written plan with a specific time frame, whereby the faculty member can meet the departmental expectations within the next year; this plan must be contained in the summary of the Annual Performance-and-Planning Review. A faculty member whose performance is rated as "unsatisfactory" shall be **ineligible** for rewards (including salary increases), and must provide to the Chair a written Interim Progress Report of remedial steps taken on his or her performance in area(s) noted as "unsatisfactory", with copies forwarded to the Dean. Alternatively, for a non-tenured faculty member an unsatisfactory rating may lead to termination for adequate cause, and for a tenure-track faculty member, an unsatisfactory rating on the Mandatory Interim Review may lead to a notice of non-renewal.

The Board’s policy on tenure states that a rigorous and thorough review shall be made of (a) any tenured faculty member whose annual review is unsatisfactory in any two of five consecutive years; and (b) any tenured faculty member whose annual review is any combination of Unsatisfactory or Needs Improvement in any three of five consecutive years. A Review Committee shall be convened by the Chair within 30 days of the second negative review, and shall be composed of the Chair, the Division Chief (if appropriate), the tenured departmental faculty peers (*Faculty Handbook*, Section 4.3.2), and faculty and administrative staff from outside the department.

Procedure for the Annual Performance-and-Planning Review

In large departments responsibilities delegated to the Chair may be delegated to other individuals. Annually, the Chair or designee must review the performance of departmental faculty having the following types of primary appointments: regular full-time (i.e., tenure-track and tenured), limited-term full-time, and part-time (*Faculty Handbook*, Sections 4.12.3.2, 4.14.3, 5.2.2, and 5.2.3). Examples of the summary documents for the Annual Performance-and-Planning Review (Forms 0001, 0002, and 0004) are attached. Annual Performance-and-Planning Reviews must be completed no later than June 30.

The goals of this review are the following:

- a. To facilitate communication between the faculty member and the Chair (or designee);
- b. To clarify the individual faculty member’s goals and expectations for the coming

- c. year, as well as for the long range;
- c. To clarify departmental goals and the faculty member's role according to the Chair's expectations;
- d. To recognize areas of exceptional performance by the faculty member;
- e. To identify areas of performance that deserve additional effort by the faculty member; and
- f. To develop documentation that will facilitate objective determination of salary, promotion, and tenure recommendations.

The review procedure should include the following elements:

- a. The Chair requests from each faculty member: (1) a summary of activities and accomplishments for the previous academic year beginning July 01, 2003, and (2) a summary of the faculty member's proposed academic goals for the year beginning July 1, 2004; these are to be completed by May 10, 2004.
- b. During May and June 2004, each faculty member must meet with the Chair. The purpose of this meeting is three-fold: (1) to review the faculty member's performance in achieving previously established academic goals, (2) to receive the work assignment for the coming academic year, and (3) to mutually establish the academic goals to be achieved by the faculty member during the coming year (*Faculty Handbook*, Sections 4.12.3.2 and 4.14.3). The Chair discusses with each faculty member his or her performance in teaching, scholarly activities, service, and/or patient care (if applicable). The Chair should, when appropriate, comment upon outstanding performance, or ways in which the performance can be improved. Finally, the Chair should assess the overall performance of the faculty member and assign one of the performance ratings listed above. In this review, the Chair should consider the following criteria, if appropriate:
 - Teaching** — Quality of instruction and instructional materials, interaction with students, level of participation, number of courses, number of contact hours, caseloads, etc. Review should be obtained from all programs (both intra- and inter-collegiate) in which the faculty member participates;
 - Patient Care** — (if applicable) Quality and quantity of patient care, consultant role, etc.;
 - Scholarly Activities** — Research completed, research in progress, grants received, presentations delivered, papers published, continuing education activities, etc.; and/or
 - Service** — Committee participation, administrative assignments, consultant ships, assistance of colleagues in research activities, offices held, etc.
- c. The following situations require specific discussions:
 1. For individuals with tenure-track appointments, this discussion must include the faculty member's progress toward tenure consideration (*Faculty Handbook*, Section 4.12.3.2).
 2. If this review coincides with the Mandatory Interim Review, the Chair must discuss the review of the individual's dossier by the tenured departmental faculty (or Collegiate Promotion and Tenure Committee, if appropriate) (*Faculty Handbook*, Section 4.12.3.3). For tenured faculty members requiring a Sixth-Year Review, this discussion must include the tenured departmental faculty peers' report (*Faculty Handbook*, Section 4.14.4).
- d. In addition, the Chair should include in the performance reviews of all faculty members a discussion of the *UTHSC's Statement on Faculty Service Responsibilities* dealing with faculty workload (Administrative Policy 1.110).

- e. The Chair prepares a narrative summary of the discussion, including assessment in each category, and his or her expectations of the faculty member for the next academic year beginning July 1, 2004. For faculty members with tenure-track appointments, the narrative should document the faculty member's progress toward tenure consideration (Faculty Handbook, Section 4.12.3.2).
- f. The Chair must attach the narrative summary to one of the following summary documents:
 - 1. For the usual Annual Performance-and-Planning Review, the Chair uses Form 0001.
 - 2. If this review coincides with the Mandatory Interim Review, the Chair uses Form 0002.
- g. As soon as possible after the discussion, the faculty member should be provided with the Chair's review, including summary document (Form 0001, 0002, or 0003), narrative summary, and next year's goals and expectations. A period of five working days is suggested as a guideline for this requirement. The faculty member may prepare an optional response to the Chair's review and expectations; this response, if any, should be attached to the summary document. A period of five working days is also suggested as a guideline for this requirement, if applicable
- h. In response to a negative rating, the Chair and the faculty member should develop a written plan with a specific time frame, whereby the faculty member can meet the departmental expectations within the next year; this plan must be attached to the narrative summary (*Faculty Handbook*, Sections 4.12.3.2 and 4.14.3). Alternatively, for a non-tenured faculty member an unsatisfactory rating may lead to termination for adequate cause (*Faculty Handbook*, Section 7.2), and for a tenure-track faculty member, an unsatisfactory rating on the Mandatory Interim Review may lead to a notice of non-renewal (*Faculty Handbook*, Section 4.12.3.3).
- i. The mutually established goals for the next academic year, with the Chair's comments, if required, should be attached to the summary document (Form 0001, 0002, or 0003).
- j. The summary document (Form 0001, 0002, or 0003), with all attachments, must be signed by both the Chair and faculty member (to acknowledge receipt of the review document) (*Faculty Handbook*, Sections 4.12.3.2 and 4.14.3). If Form 0001 or Form 0002 is used, the faculty member may, if desired, enter a self-evaluation in the column headed "Faculty Member". The original should be retained in the departmental office with complete copies provided to the Dean and the faculty member by June 30, 2004.
- k. Upon completion of the review process, and no later than July 12, 2004, the Chair should forward to the UTHSC Vice Chancellor for Academic Affairs a signed Certification of Faculty Review (Form 0004).