



MEMORANDUM

DATE: February 5, 2019

TO: Randy Boyd, Interim President

FROM: Matthew Scoggins, General Counsel 
Linda C. Martin, Vice President for Academic Affairs and Student Success 

SUBJECT: Administrative Approval of Revisions to UT Health Science Center Faculty Handbook Regarding Annual Performance Evaluations

.....

Under the Board of Trustees Policy on Faculty Handbook Revisions, BT0007, approval of certain revisions to a faculty handbook is delegated to the President, upon advice of the General Counsel and appropriate Vice Presidents.


UTHSC has made changes to the UTHSC Faculty Handbook to implement revised language regarding the timing of its annual review process for faculty. The campus is changing its review period from an academic year period to a calendar year period. These proposed changes may be approved administratively, and do not require approval by the Board of Trustees, because they make minor editorial, technical, and housekeeping changes.

After detailed review of the proposed revisions, which are shown in Exhibit A to this memorandum in “tracked changes” format, we jointly support the administrative approval of the indicated revisions, as well as the campus’s plan for implementing those changes as set forth in Chancellor Schwab’s January 12, 2019 Memorandum.

This memorandum and its attachment will serve as a formal record of the administrative approval of these proposed handbook changes.

If you approve of the proposed revisions and the campus’s plan for implementing those changes, please indicate your approval by signing below and returning this memorandum to Linda C. Martin.

Approved by:



Randy Boyd, Interim President

2-15-19
Date

Attachment



Office of the Chancellor
62 South Dunlap Street
Memphis, TN 38163
T (901) 448-4796
F (901) 448-7750

Memphis
Knoxville
Chattanooga
Nashville

MEMORANDUM

TO: Linda C. Martin, Vice President for Academic Affairs and Student Success

FR: Steve J. Schwab, Chancellor

A handwritten signature in black ink, appearing to read 'S. Schwab'.

DATE: January 17, 2019

RE: UTHSC Faculty Handbook Revision for Administrative Review/Approval

Per your November 5, 2018 email approval (attached) of the October 24, 2018 memorandum (attached) to then-President DiPietro, UTHSC undertook the required review of our UTHSC Faculty Handbook to identify areas where amended language would be required.

We have attached our proposed edits of the UTHSC Faculty Handbook that amend language in the handbook to correspond to the timing of annual reviews as a calendar year process instead of an academic year process. A detailed listing of the edits is appended. Given that the proposed edits reflect editorial, technical and other housekeeping changes, we are seeking administrative approval for these changes.

Processes that will remain on the academic year schedule include (a) interim probationary review for tenure, (b) final probationary reviews for tenure, (c) review for promotion in rank, (d) reappointment letters for tenure-track and non-tenure track faculty members, and (e) non-renewals. Only the annual performance and planning review will be changed to the calendar year.

In addition to official administrative approval of the noted changes in the UTHSC Faculty Handbook, with this memo we are also providing notification that the current annual review cycle will cover an 18-month period (July 1, 2018 through December 31, 2019). Given our implementation of Digital Measures as our faculty activity reporting system, we have specific targets and direction for faculty members and department chairs for populating Digital Measures with their information over the coming months. This is to ensure our readiness to use Digital Measures in faculty's annual performance and planning review that will take place beginning January 2020.

I appreciate your consideration of this request for administrative approval of these proposed edits to the UTHSC Faculty Handbook.

Attachments:

- *UT System Email approval for an 18-month annual review*
- *Request to Transition APPR from Academic Year Process to Calendar Year Process*
- *2018-12-01-UTHSC-Faculty-Handbook-APPR-to-Calendar-Yr-Edits*

cc: Lori Stewart Gonzalez, Chief Academic Officer
Frank Lancaster, Associate General Counsel

Section	Deletion (if needed)	Addition (if needed)
BODY OF HANDBOOK		
4.16.3, 2 nd ¶, item 2	Deleted "academic"	N/A
4.16.3, 3 rd ¶, last sentence	Deleted incorrect reference to 4.15.6 to "President's Action or Recommendation"	Inserted correct reference to 4.16.6 that is entitled "Recognition of Excellence"
APPENDIX J		
General Information, 2 nd ¶	Deleted "Each spring"	Inserted "Annually, in the time frame set forth in the Faculty Evaluation Calendar"
Faculty Performance Ratings, Unsatisfactory for Rank, Actions required item b	Deleted incorrect reference to 4.16.3 "Annual Performance and Planning Review" section for tenured and tenure-track faculty members	Inserted correct reference to 4.10 "Notice of Non-Renewal" section for tenure-track faculty members
Procedure for the Annual Performance-and-Planning Review, 1 st ¶	Deleted "June [day], [year]"	Inserted "the date specified in the Faculty Evaluation Calendar"
Procedure for the Annual Performance-and-Planning Review, 3 rd ¶, a	For items (1) and (2) deleted "fiscal/academic"	Inserted "calendar"
	For items (1) and (2) deleted "beginning July 1, [year]"	N/A
	Deleted "May [day], [year]"	Inserted "the date specified in the Faculty Evaluation Calendar"
Procedure for the Annual Performance-and-Planning Review, 3 rd ¶, b	Deleted "during May and June"	Inserted "during the time frame set forth in the Faculty Evaluation Calendar"
	Deleted "academic"	N/A
Procedure for the Annual Performance-and-Planning Review, d	Deleted "academic"	Inserted "calendar"
	Deleted "beginning July 1"	N/A
Procedure for the Annual Performance-and-Planning Review, h	Deleted "academic"	N/A
Procedure for the Annual Performance-and-Planning Review, i	Deleted "June [day]"	Inserted "the date specified in the Faculty Evaluation Calendar"
Procedure for the Annual Performance-and-Planning Review, j	Deleted "July [day]"	Inserted "the date specified in the Faculty Evaluation Calendar"
APPENDIX K		
Procedure for the Mandatory Interim Review, item c, (1)	Deleted "academic" Deleted "beginning July 1, [year]"	N/A
Procedure for the Mandatory Interim Review, item c, (2)	Deleted "beginning July 1, [year]"	Inserted "upcoming"

Section	Deletion (if needed)	Addition (if needed)
	Deleted "May [day], [year]"	Inserted "the date specified in the Faculty Evaluation Calendar"
Procedure for the Mandatory Interim Review, d	Deleted "During May and June" Deleted "academic" (in [1]) Deleted "academic" (in [3])	Inserted "Annually, in the time frame set forth in the Faculty Evaluation Calendar"
Procedure for the Mandatory Interim Review, f	Deleted "academic" Deleted "beginning July 1, [year]"	Inserted "calendar"
Procedure for the Mandatory Interim Review, i	Deleted "academic"	N/A
Procedure for the Mandatory Interim Review, k	Deleted "June [day], [year]"	Inserted "the date specified in the Faculty Evaluation Calendar"
Procedure for the Mandatory Interim Review, l	Deleted "July [day], [year]"	Inserted "the date specified in the Faculty Evaluation Calendar"

**Email approval for an 18-month annual review cycle for UTHSC
July 1, 2018 through December 31, 2019**

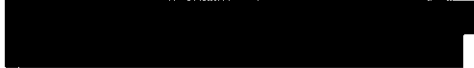
From: "Martin, Linda C (Linda C. Martin)" <lcmartin@tennessee.edu>
Date: Monday, November 5, 2018 at 2:53 PM
To: Lori Gonzalez <lsgonz01@uthsc.edu>
Subject: FW: follow up on three requests

See attached. We have an okay on #1, but getting it in writing. Linda

From: Gonzalez, Lori
Sent: Saturday, November 3, 2018 7:04 PM
To: Martin, Linda C (Linda C. Martin) <lcmartin@tennessee.edu>
Subject: follow up on three requests

Linda – I imagine you have been tied up with preparation for the BOT meeting. I wanted to follow up on three requests.

1. Approval of 18 versus 12 month APPR review cycle to support the transition to a calendar year cycle.



Thanks. Lori

Lori S Gonzalez, PhD, Vice Chancellor
Office of Academic, Faculty & Student Affairs
University of Tennessee Health Science Center
62 S Dunlap Street, Suite 400 Memphis TN 38163
Phone: 901-448-4930 Email: lsgonz01@uthsc.edu



Office of the Chancellor
62 South Dunlap Street
Memphis, TN 38163
T (901) 448-4796
F (901) 448-7750

Memphis
Knoxville
Chattanooga
Nashville

October 24, 2018

MEMORANDUM

TO: Joe DiPietro, President

FR: Steve Schwab, Chancellor 

RE: Request to Transition APPR from Academic Year Process to Calendar Year Process

Currently, UTHSC follows an academic year Annual Performance and Planning Review (APPR) process with all reviews covering a period of July 1 through June 30. We are requesting approval to move to a calendar year process with reviews covering a period of January 1 through December 31.

This change has been discussed with campus administration and the Faculty Senate. They concur that it would benefit our campus and the natural cycles of our work. The Office of Academic, Faculty and Student Affairs will work with the Faculty Senate to amend language in the Faculty Handbook to reflect the change in APPR period. Currently the UTHSC handbook has in place a number of provisions that talk about timing of the annual review – for instance, where the handbook currently states: “Each spring, the Chair and Individual faculty member agree upon the faculty member’s goals”. These sections would be edited to reflect the timelines associated with a calendar year process.

We have been informed by UT Legal Counsel that these minor word changes would fall within the authority for administrative approval under BT0007 (“Policy on Handbook Revisions” – <https://universitytennessee.policytech.com/docview/?docid=218&public=true>), which states:

This clear distinction between policy and administration should be applied to the approvals required to effect changes in faculty handbooks. The Board of Trustees is responsible for policy changes in areas such as the following:

- *appointment, retention, promotion, probation, tenure, and termination;*
- *academic freedom and faculty rights; and*
- *intellectual property, compensated outside services, academic misconduct, and conflict of interest.*

For editorial, technical, and other housekeeping changes in these policy matters, the Board delegates review-and-approval responsibility to the President, the General Counsel, and appropriate Vice Presidents.

For all revisions in handbook matters other than policies like those noted above, the Board delegates review-and-approval responsibility to the President, the General Counsel, and appropriate Vice Presidents.

The campus could have two different approaches to this requested change. We could:

- Complete the last academic review in June 2019 followed by a review that covers the period from June 2019 to December 2019, or
- Complete the academic review at the end of the first calendar review (December 2019) which would result in 18 months (July 2018 to December 2019) between the last academic-year review and the first calendar-year review.

UTHSC prefers to follow the 18-month option. We have acquired *Digital Measures* as our faculty productivity reporting system and implementation has begun. The 18-month review will allow faculty to enter their data, enable required data pulls from official systems of record, and will allow our campus to use the *Digital Measures* system to manage the review process. We understand that UTK followed a similar process with an 18-month "year" between 2007-2009 when they converted their academic-year review to a calendar-year review.

In summary, UTHSC is requesting the following:

- that we be permitted to alter date-specific language in the Faculty Handbook for administrative approval to incorporate the new review cycle into the Faculty Handbook, and
- that our next APPR cycle be an 18-month period to facilitate the transition to a calendar year review cycle.

Thank you for your consideration of this request. In order to make these changes in a timely manner to notify faculty members and administrators of the change, we look forward to your response. We are happy to provide additional details, if needed.

cc: Linda C. Martin, Vice President for Academic Affairs and Student Success
Frank Lancaster, Associate General Counsel
Lori Gonzalez, Chief Academic Officer
Cindy Russell, Associate Vice Chancellor Faculty Affairs

4.15.7 Action by the Board of Trustees when Required

Only the Board of Trustees is authorized to grant tenure in certain cases specified in Article III.B. of the Board of Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure. In those cases, the Board of Trustees acts only on the President's positive recommendations for tenure. After positive action by the Board of Trustees to grant tenure, the President shall give the faculty member written notice of the effective date of tenure.

4.16 Career Development and Evaluation of Tenured Faculty Members

4.16.1 General

Faculty career development for tenured faculty members is the progression from the attainment of tenure to the attainment of the rank of professor, and, following these milestones, to an ongoing career of continually increasing academic achievement. Successful career development is primarily the responsibility of the individual faculty member; however, guidance should be provided by the faculty member's Chair. For a tenured faculty member, formal review of the individual's accomplishments is undertaken annually by the Chair as part of the faculty member's Annual Performance and Planning Review.

Competent teaching is a crucial responsibility for faculty members with teaching assignments, and the effective use of appropriate instructional evaluation (including departmental files on class syllabi and related materials, student evaluation, and peer evaluation) is important to all objective review processes. Faculty members with research responsibilities should have the quantity and quality of their work fairly assessed. Each faculty member's service contributions, if applicable, should be evaluated impartially. At UTHSC this evaluation process primarily emphasizes professional career development and usually integrates developmental goals of faculty members with departmental mission and priorities.

4.16.2 Career Development Planning and Evaluation Process for Tenured Faculty Members

Generally, the career development and evaluation process for tenured faculty members is a series of meetings, involving the faculty member and the Chair. The objectives of these meetings are:

1. to mutually establish academic goals for the faculty member (i.e., distinctive requirements of the faculty position in teaching, research, service, and/or patient care);
2. to evaluate the faculty member's performance in achieving these previously established academic goals; and
3. to provide the faculty member with a routine opportunity to seek and receive advice and guidance from the Chair.

Any faculty member who feels aggrieved by the career development and evaluation process as applied to him or her may appeal through the provisions of Section 7.

4.16.3 Annual Performance and Planning Review

The Board's policy on tenure states that each faculty member and his or her Department Chair will engage in a formal Annual Performance and Planning Review, examining the previous year's activities and planning

what should occur during the coming year. The procedure for the Annual Performance and Planning Reviews at UTHSC is found in Appendix J. The Board's policy also stipulates that each faculty member's Annual Performance and Planning Review should proceed from guidelines and criteria which are appropriate to the department, college, and UTHSC (Section 4.4.2). A document summarizing the review – including an objective rating of the faculty member's performance – must be signed by the faculty member (to acknowledge receipt of the review document) and the Chair; a copy must be sent to the Dean. Copies of the summary document and the Annual Performance and Planning Review are given to the faculty member and placed in his or her personnel file.

Annually, each tenured 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.

At any time the Chair or faculty member may request that the tenured departmental faculty also review the faculty member's performance. At UTHSC, summary ratings indicate that during the past year the faculty member's performance was "Exceeds Expectations for Rank," "Meets Expectations for Rank," "Needs Improvement for Rank" or "Unsatisfactory for Rank". UTHSC should recognize and seek to reward faculty members, who receive "Exceeds Expectations for Rank" ratings (Section 4.15.16.6 (CR1)).

Similarly, the Dean meets and evaluates the performance of the Chairs and other full time faculty who report directly to the Dean. Copies of Annual Performance and Planning Reviews are given to those reviewed and placed in their personnel files.

4.16.4 Enhanced Post-Tenure Performance Review (EPPR)

Enhanced Post-Tenure Performance Review (EPPR) is an expanded and in-depth performance evaluation conducted by a committee of tenured peers and administered by the chief academic officer. Procedures for conducting an EPPR are detailed in Appendix M.

This policy recognizes that the work of a faculty member is not neatly separated into academic or calendar years. To ensure that performance is evaluated in the context of ongoing work, the period of performance subject to enhanced review is the five most recent annual performance review cycles. UTHSC campus administration must collect and maintain sufficient data regarding annual performance reviews to implement this policy effectively.

An Enhanced Post-Tenure Performance Review must be initiated when the chief academic officer determines that a faculty member has:

- requested an EPPR, after at least four annual performance review cycles since the last enhanced review (such as a previous EPPR or a review in connection with tenure or promotion);
- received one overall annual performance rating of "Unsatisfactory"; or
- received two overall annual performance ratings of "Needs Improvement" during any four consecutive annual performance review cycles.

APPENDIX J – PROCEDURE FOR THE ANNUAL PERFORMANCE-AND-PLANNING REVIEW

General Information

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 (Faculty Handbook, Section 4.4.1). It is expected that faculty will devote full-time to their academic duties, unless released time is officially approved.

~~Each spring~~ Annually, in the time frame set forth in the Faculty Evaluation Calendar, the Chair and individual faculty member agree upon the faculty member's goals and the Chair's expectations during the upcoming year (Faculty Handbook, Sections 4.14.3.2; 5.3.2). 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.

Faculty Performance Ratings

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 **beyond the agreed-upon goals and objectives**. 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** and who has contributed to the mission, goals and objectives of the department, college and university, as well as to his or her professional field. 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. A faculty member whose performance is rated as "Needs Improvement for Rank" is not eligible for merit pay or performance-based salary adjustment. The Dean must immediately notify the UTHSC Chief Academic Officer of all faculty members whose performance is rated as Needs Improvement for Rank.

Actions required for faculty members who receive a rating of Needs Improvement for Rank vary by tenure status, as noted below.

- a. Tenured faculty – If this is the first Needs Improvement for Rank rating during any four consecutive annual performance review cycles, within 30 days of the annual review a tenured faculty member who receives this rating must collaborate with the Chair on an Annual Review Improvement Plan to be reviewed by the Chair and recommended by him/her to the Dean for review and approval/denial. If this is the second overall annual performance rating of Needs Improvement for Rank during any four consecutive annual review cycles an Enhanced Post-Tenure Performance Review must be initiated.
- b. Tenure-track faculty – A tenure-track faculty member who receives a rating of Needs Improvement for Rank is required to implement an Annual Review Improvement Plan unless the faculty member receives a notice of non-renewal of his or her reappointment as provided in §4.16.3.
- c. Non-tenure track faculty – The Chair or relevant supervisor may recommend an improvement plan to correct areas of poor performance for a non-tenure track faculty member who receives a rating of Needs Improvement for Rank as provided in §5.3.4. Alternatively, the Chair or relevant supervisor may recommend non-renewal of the non-tenure track faculty member's appointment for the upcoming year (or other appointment period). Prior to issuing a reappointment letter for the coming fiscal/academic year for any non-tenure track faculty member who receives a rating of Needs Improvement for Rank, the Chair should consult with the Dean and contact the UTHSC Chief Academic Officer.

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. A faculty member whose performance is rated as "Unsatisfactory for Rank" is not eligible for any salary adjustment. The Dean must immediately notify the UTHSC Chief Academic Officer of all faculty members whose performance is rated as Unsatisfactory for Rank.

Actions required for faculty members who receive a rating of Unsatisfactory for Rank vary by tenure status, as noted below.

- a. Tenured faculty – A rating of Unsatisfactory for Rank for a tenured faculty member requires an Enhanced Post-Tenure Performance Review.
- b. Tenure-track faculty – A tenure-track faculty member who receives a rating of Unsatisfactory for Rank is required to implement an Annual Review Improvement Plan, unless the faculty member receives a notice of non-renewal of his or her reappointment as provided in §4.16.34.10 [RCK(2)] or is undergoing the process for termination of a faculty member for adequate cause.
- c. Non-tenure track faculty – The Chair or relevant supervisor may recommend an improvement plan to correct areas of poor performance for a non-tenure track faculty member who receives a rating of Unsatisfactory for Rank as provided in §5.3.4. Alternatively, the Chair or relevant supervisor may recommend non-renewal of the non-tenure track faculty member's appointment for the upcoming year (or other appointment period) or termination for adequate cause. Prior to issuing a reappointment letter for the coming fiscal/academic year for any non-tenure track faculty member who receives a rating of Unsatisfactory for Rank, the Chair should consult with the Dean and contact the UTHSC Chief Academic Officer.

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 all full and part time faculty members. Examples of the summary documents for the Annual Performance-and-Planning Review (Forms 1 and 4) are attached. Annual Performance-and-Planning Reviews must be completed no later than ~~June {day}, {year}~~ the date specified in the Faculty Evaluation Calendar.

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 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 current ~~fiscal/academic calendar year beginning July 1, {year},~~ and (2) a summary of the faculty member's proposed academic goals for the coming ~~fiscal/academic calendar year beginning July 1, {year};~~ these are to be completed by ~~May {day}, {year}~~ the date specified in the Faculty Evaluation Calendar.
- b. Annually, ~~during May and June~~ during the time frame set forth in the Faculty Evaluation Calendar, 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. 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, consultantships, 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 (Faculty Handbook, Section 4.14.3.2).
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 4.14.3.3).
3. For tenured faculty members who were rated "Needs Improvement for Rank" during the previous APPR and who did not have an EPPR triggered, this annual review must include a progress report that clearly describes improvements in any area(s) noted in the previous Annual Performance and Planning Review as Needs Improvement for Rank or Unsatisfactory for Rank. For tenure-track and non-tenure track faculty members who were rated "Needs Improvement for Rank" or "Unsatisfactory for Rank" during the previous Annual Performance and Planning Review, this annual review must include a progress report that clearly describes improvements in any area(s) noted as Needs Improvement for Rank or Unsatisfactory for Rank.
4. For tenured faculty members whose past performance is being reviewed under the EPPR process, this annual review must include (a) a progress report that clearly describes performance in the area(s) identified for the EPPR improvement plan and (b) a review of the additional area(s) of the faculty member's performance necessary to meet the agreed-upon goals and objectives (Faculty Handbook, Section 4.16.4.3).

d. 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 calendar year beginning

~~July 1.~~ For faculty members with tenure-track appointments, the narrative should document the faculty member's progress toward tenure consideration.

- e. 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 1.
 - 2. If this review coincides with the Mandatory Interim Review, the Chair also uses Form 2.
 - 3. If this review coincides with an EPPR process, the Chair uses Form 3.
- e. As soon as possible after the discussion, the faculty member should be provided with the Chair's review, including summary document (Form 1 or 2), narrative summary, and next year's goals and expectations.
- f. 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.
- g. In response to a negative rating that does not trigger an Enhanced Post-Tenure Performance Review (EPPR) (see §4.16.3), the Chair and the faculty member should collaboratively develop a written plan (Annual Review Improvement 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 additional consequences, including issuance of a non-renewal or 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).
- h. The mutually established goals for the next ~~academic~~ year, with the Chair's comments, if required, should be attached to the summary document (Form 1, or 3).
- i. The summary document (Form 1 or 3), with all attachments, must be signed by both the Chair and faculty member (to acknowledge receipt of the review document). Signature by the faculty member acknowledges receipt of the evaluation but does not connote agreement with the Chair's assessment (Faculty Handbook, Sections 4.14.3.2, 4.16.3, 5.3.2). 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 15~~ the date specified in the Faculty Evaluation Calendar.
- j. Upon completion of the review process, and no later than ~~July 15~~ the date specified in the Faculty Evaluation Calendar, the Chair should forward to the UTHSC Chief Academic Officer a signed Certification of Faculty Review (Form 4).

See: <https://academic.uthsc.edu/docs/Faculty-Evaluation-Calendar.pdf>

APPENDIX K – PROCEDURE FOR THE INTERIM PROBATIONARY REVIEW FOR THE AWARD OF TENURE

General Information about the Mandatory Interim Probationary Review

For each tenure-track faculty member whose probationary period is four or more years, a Mandatory Interim Review will be conducted (*Faculty Handbook*, Section 4.14.3.3). This two-part review will be conducted (1) by the tenured faculty in the department (or division) or the College Promotion and Tenure Committee (CPT Committee), if appropriate, and (2) by the Chair at the same time as the Annual Performance-and-Planning Review. An example of the summary document for the Mandatory Interim Review (Form 2) is attached. If the probationary period is four years, the Mandatory Interim Review occurs in the second year (*Faculty Handbook*, Section 4.14.3.3). If the probationary period is five, six, or seven years, the Mandatory Interim Review occurs during the third year (*Faculty Handbook*, Section 4.14.3.3). Annually, the time line for completing this review is the same as that for the Annual Performance-and-Planning Review (*Faculty Handbook*, Section 4.14.3.3).

According to the Board’s policy on tenure, an adequate evaluation of a tenure candidate’s qualifications, professional contributions, potential, and determination of whether he or she should be accepted as a tenured member of the UTHSC academic community, requires the judgment of both the candidate’s faculty colleagues and the responsible administrators (*Faculty Handbook*, Section 4.15.1). Thus, although recommendations for tenure are administrative actions that must be approved by the Board of Trustees, there should be no positive recommendation for tenure without formal consultation with the tenured faculty of the department in which the candidate holds his or her position (*Faculty Handbook*, Section 4.15.1). At UTHSC this formal consultation with the tenured faculty in the candidate’s department is contained in the Interim and Final Probationary Reviews of the candidate’s performance by the tenured faculty of his or her department (*Faculty Handbook*, Sections 4.14.3.3, 4.14.3.4, and 4.15.1). If a department does not have at least three tenured faculty members (excluding the Dean and Chair), the CPT Committee (Section 4.4.2) will perform this review. In large departments (e.g., Medicine, Pediatrics, etc.), the Chair may divide the tenured departmental faculty by divisions in order to form several committees composed of five or more tenured faculty members.

Definitions and Applications of Faculty Performance Ratings

[See Appendix J]

Procedure for the Mandatory Interim Review

The Department Chair may delegate his or her responsibility for the Mandatory Interim Review to other individuals. The purpose of the Mandatory Interim Review is to establish a mutual understanding between the faculty member and the Chair regarding the faculty member’s progress towards attainment of tenure (*Faculty Handbook*, Section 4.14.3.3). The procedure for the Interim Review should include the following elements:

- a. The Chair should counsel the faculty member concerning updating his or her curriculum vitae and the identification of supporting documentation to be submitted to the tenured departmental or divisional faculty (or CPT Committee, if appropriate) (*Faculty Handbook*, Section 4.14.3.3). The faculty member, in consultation with the Chair, should compile a dossier containing all documents to be submitted for review. Although each department’s tenured faculty and Chair determine what additional items are required for a candidate’s dossier, the dossier must include at least the following items (*Faculty Handbook*, Section 4.11.2):

1. Current Curriculum Vitae, in the form required by UTHSC;
2. The initial appointment letter and annual reappointment letters with all figures related to salary or income completely obscured;
3. Annual accomplishments and goals, written by the candidate, since accepting a tenure-track faculty appointment at UTHSC; and
4. Summaries of Annual Performance-and-Planning Reviews, written by the Chair and the faculty member's responses, if any, that correspond to the annual accomplishments and goals of item 3 above.

The faculty member may also include in the dossier any other documents that he or she believes may assist the tenured faculty in its review or be relevant to a positive recommendation (*Faculty Handbook*, Section 4.11.2). Such documents may include, but are not limited to, sample publications; summaries of student teaching evaluations, as well as other indicators of teaching performance; or letters of evaluation. A letter of evaluation contains a subjective peer-evaluation of a candidate's accomplishments and professional standing. For any candidate the maximum number of requested letters of evaluation is six (*Faculty Handbook*, Section 4.11.2). Within a department the number and nature of required letters should be uniformly applied to every faculty member. Any letters of evaluation should be directed to the Chair.

- b. The tenured departmental or divisional faculty (or CPT Committee, if appropriate) will review the dossier and meet for the purpose of recording a formal, anonymous vote on the individual's progress towards tenure (*Faculty Handbook*, Section 4.14.3.3). A quorum shall be fifty percent (50%) of the tenured faculty eligible to vote on a given candidate or issue, and a positive or negative recommendation shall be decided by a simple majority of those tenured faculty members present (*Faculty Handbook*, Sections 4.4.2 and 4.4.3). A report will be written to the faculty member's Chair and will contain the following: a list of the tenured faculty members in attendance; all suggestions; the majority and minority views, if relevant; and the summary vote.
- c. The Chair requests from each probationary faculty member for whom the Mandatory Interim Review is required: (1) a summary of activities and accomplishments for the previous academic year beginning July 1, [year], and (2) a summary of the faculty member's proposed academic goals for the upcoming year beginning July 1, [year]; these are to be completed by the date specified in the Faculty Evaluation Calendar May [day], [year].
- d. ~~During May and June [year]~~ Annually, in the time frame set forth in the Faculty Evaluation Calendar, each faculty member must meet with the Chair (*Faculty Handbook*, Sections 4.14.3.2 and 4.14.3.3). This meeting with the Chair constitutes the second part of the Mandatory Interim Review. The purpose of this meeting is four-fold: (1) to review the faculty member's performance in achieving previously established academic goals during the probationary period, including the preceding ~~academic~~ year; (2) to present and discuss the tenured faculty's report; (3) to receive the work assignment for the coming ~~academic~~ year; and (4) to mutually establish the academic goals to be achieved by the faculty member during the coming year (*Faculty Handbook*, Sections 4.14.3.2 and 4.14.3.3). The Chair discusses with each faculty member his or her performance in teaching, scholarly activities, service, and/or patient care (if applicable). This discussion must include the faculty member's progress toward tenure consideration (*Faculty Handbook*, Section 4.14.3.2). 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, consultantships, assistance of colleagues in research activities, offices held, etc.

- e. In addition, the Chair should include in the performance review a discussion of the *General Information* from Appendix J dealing with faculty workload.
- f. 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 calendar year beginning July 1, [year].~~ The narrative must document the faculty member's progress toward tenure consideration (Faculty Handbook, Section 4.14.3.2). The Chair attaches the narrative summary to Form 2.
- g. As soon as possible after the discussion, the faculty member should be provided with the Chair's review, including summary document (Form 2), narrative summary, and next year's goals and expectations. A period of five 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 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*, Section 4.14.3.3). Alternatively, an unsatisfactory rating on the Mandatory Interim Review may lead to a notice of non-renewal (*Faculty Handbook*, Section 4.14.3.3).
- 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 2).
- k. The summary document (Form 2), with all attachments, must be signed by both the Chair and faculty member (to acknowledge receipt of the review document) (*Faculty Handbook*, Section 4.14.3.2). 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 the date specified in the Faculty Evaluation Calendar June [day], [year].

- I. Upon completion of the review process, and no later than the date specified in the Faculty Evaluation Calendar July [day], [year], the Chair should forward to the UTHSC Chief Academic Officer a signed Certification of Faculty Review (Form 4).

See: <https://academic.uthsc.edu/docs/Faculty-Evaluation-Calendar.pdf>