



THE UNIVERSITY OF
TENNESSEE
HEALTH SCIENCE CENTER™

Introducing Post-Tenure Review (PTR)
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GOALS

- Provide a review of the Post-Tenure Review (PTR) policy
- Describe the selection process for faculty who will be reviewed
- Review key elements in the PTR process
- Point out important dates and timelines
- Answer questions about the PTR process

Post Tenure Review Policy



Review of the Post-Tenure Review Policy

2018: UT Board of Trustees –policy

- All tenured faculty
- Specific form of comprehensive, enhanced performance review
- ***No less often than every 6 years***
... with a few circumstances resulting in a different time frame

UTHSC's PTR Policy

- Not yet in the Faculty Handbook
- Posted online until its inclusion in the Handbook
<http://uthsc.edu/afsa/faculty-affairs/faculty-resources.php>
- Process managed centrally by the Chief Academic Officer to ensure consistency in process across colleges

Eligibility and Selection for PTR

- PTR period begins with granting of tenure
- PTR occurs no less often than every 6 years thereafter
- Specific circumstances result in a different timetable

Circumstances Altering PTR Timetable

<p>Leave of absence</p> <p>Modified duties assignment</p>	<p><u>Suspend</u> PTR for that year</p>
<p>Alternative Comprehensive Review</p> <ul style="list-style-type: none"> • Successful promotion review • Promotion in progress • Undergoing Enhanced Post-Tenure Performance Review (EPPR) 	<p><u>Restart</u> PTR from that year</p>

Circumstances Resulting in Exemption of PTR

- Full-time administrators and faculty members with a majority administrative appointment (>50% administration) are exempted
 - If a full/majority-time administrator leaves the administrative position for their tenured faculty position, the initial PTR occurs within 6 years
- Faculty members holding $\leq 50\%$ administrative appointment are subject to PTR regarding their faculty duties based on expectations consistent with their faculty duty allocation
- Retirement date accepted, with retirement within 12 months
- Good cause approved by the Chief Academic Officer

Selection Process for 2021 PTR

Total Number of Tenured Faculty Members*

College	Total Number Tenured
Dentistry	26
Graduate Health Sciences	2
Health Professions	25
Medicine	215
Nursing	5
Pharmacy	24
TOTAL	297

*As of Spring, 2021

Numbers for Selection for 6-year Process

If we were to do everyone over a 6-year period, on average how many would we need to do per year?

College	Total Number Tenured	One-sixth/Year
Dentistry	26	4
Graduate Health Sciences	2	<1
Health Professions	25	4
Medicine	215	36
Nursing	5	1
Pharmacy	24	4
TOTAL	297	50

Numbers for Selection this Year

College	Total Number Tenured	One-sixth per Year	2019 Selection	2021 Selection
Dentistry	26	4	2	2
Graduate Health Sciences	2	<1	0	0
Health Professions	25	4	2	2
Medicine	215	36	22	19
Nursing	5	1	1	0
Pharmacy	24	4	3	2
TOTAL	297	50	30	25

The Numbers | The Situations

From a base of 297 tenured faculty members, as of 2/2021, we worked with the Faculty Affairs Work Group (FAWG) representatives and pulled official data for each college to determine:

- % administrative assignment by role
- Leaves of absence
- Modified duties assignment
- Accepted retirement date
- Date of departure from any full-time (or majority) administrative role
- Date of tenure
- Date of last promotion
- Any promotion in progress
- Date of any Enhanced Post-Tenure Performance Review (EPPR)

2021 PTR Eligible & Excluded

College	Total Number Tenured	Total Excluded from PTR		Total Eligible for PTR	
Dentistry	26	18	69%	8	31%
Graduate Health Sciences	2	2	100%	0	0%
Health Professions	25	18	72%	7	28%
Medicine	215	104	48%	111	52%
Nursing	5	5	100%	0	0%
Pharmacy	24	20	83%	4	17%
TOTAL	297	167	56%	130	44%

Random Selection

Summary: Dr. Fridtjof Thomas wrote a statistical program to randomly select faculty for PTR. The Office of Academic, Faculty and Student Affairs provided a list with faculty that are eligible for PTR (list includes personnel number, department name, and college name only) as well as information about how many faculty are to be selected from each college. **Within each college, every eligible faculty has the same probability of being selected.** (Especially, time in rank or department within college or location within COM have no impact on the probability of being selected.)

Probability of Selection: Every eligible faculty member *within* each college has the same probability/chance of being selected for PTR. For each college the probability of being selected depends on the total number of eligible faculty in that college and the pre-determined number of faculty to be selected for PTR in that same college. Therefore, the probability of being selected for PTR can be different for eligible faculty *across* colleges.

Statistical Procedure: The procedure uses R software for statistical computing (The R Foundation, www.r-project.org) with R Markdown to generate the selection report. Randomization uses the Mersenne-Twister random number generator as implemented in the used R version.

2021 Random Selection: Selection of faculty for PTR 2021 occurred during the combined **Faculty Affairs Work Group (FAWG) and Faculty Senate Officers** meeting on **March 9, 2021** at 1pm CST.

FAWG Members

Dentistry: Stan Covington
Graduate Health: Don Thomason
Health Professions: Hassan Aziz

Medicine: Polly Hofmann
Nursing: Sherry Webb
Pharmacy: Brad Boucher

Faculty Senate Officers

Fruz Pourmotabbed
Peg Hartig
Jillian McCarthy
Mandal Nawajes

Tenured Faculty Involvement

Because this is a review

OF tenured faculty members

BY tenured faculty members

if you're not selected to be reviewed, there's a high likelihood that you'll be selected to be a reviewer!

25 reviews this year

x 3 members of each PTR Committee

75 reviewers

75 reviewers

+25 reviews

100 reviewers and faculty members

reviewed (if all were unique)

The Review Process

Key Elements of the PTR Process

- Appointment/composition of the PTR Committee
- Training of PTR Committee
- Materials to be reviewed by the PTR Committee
- Special circumstance: external reviews
- Criteria for PTR
- PTR Committee's conclusions and report
- Further Actions, when required
- Faculty member's appeal

Appointment of PTR Committee

- Faculty member and Department Chair nominate
- Faculty member can ask that one (1) nominee from the chair's list be removed
- Chief Academic Officer (CAO) appoints

Required characteristics of nominees to serve on a faculty member's PTR Committee	Faculty Member's Nominees			Department Chair's Nominees					
	Nominee #1	Nominee #2	Nominee #3	Nominee #1	Nominee #2	Nominee #3	Nominee #4	Nominee #5	Nominee #6
Tenured?									
Full-time?									
Same or higher rank than faculty member being reviewed?									
Locus of tenure at UTHSC?									
Have sufficient expertise in the field of and/or similarity of activities to the faculty member being reviewed?									
Not related to faculty member being reviewed?									

Light grey shading indicates nominee from within the division/department
 Light green shading indicates nominee from outside the division/department

Composition of PTR Committee

CAO ensures the following requirements are met.

Faculty member under review is in a department that does not have recognized divisions	Faculty member under review is in a department with recognized divisions (College of Medicine-specific)
<p>One and only one PTR Committee member must hold an appointment in the same department Unless there is no such faculty member eligible to serve, in which case this PTR Committee member must come from the college</p>	<p>One and only one PTR Committee member must hold an appointment in the same division Unless there is no such faculty member eligible to serve, in which case this PTR Committee member must come from the department – provided no other PTR Committee members may hold an appointment in the same division</p>
<p>At least one PTR Committee member must hold an appointment in a different department, but from the same college</p>	<p>At least one PTR Committee member must hold an appointment in a different division, but from the same college</p>
<p>The final PTR Committee member may hold an appointment in a different college. If this PTR Committee member is in the same college, they must hold an appointment in a different department.</p>	
<p>For purposes of PTR Committee membership, College of Medicine basic science and clinical departments are considered as different colleges.</p>	
<p>One of the three PTR Committee members must be selected from the faculty member’s list of nominees.</p>	

PTR Committee is Required to Review

A. Materials to be supplied by the Department Chair (or Division Chief, if relevant):

1. Annual performance and planning reviews – to include evaluations and ratings – for each year of the last six (6) years
2. Student evaluations of teaching for each year of the last six (6) years
3. Any peer evaluations of teaching for each year of the last six (6) years

Six Years = 2020, 2019, 2018, 2017, 2016, 2015

B. Materials to be supplied by the faculty member under review:

1. Current CV
2. A narrative, not to exceed two (2) pages, prepared by the faculty member that describes:
 - a. The faculty member's milestone achievements and accomplishments for each of the last six (6) years
 - b. Goals for the next PTR review period

C. If deemed necessary by the PTR Committee or the Chief Academic Officer, or when requested by the faculty member under review:

1. External reviews

Special Circumstance: External Reviews

- May be requested by any member of the PTR Committee, CAO, or the faculty member
- Expected to be used rarely
- May be requested when sufficient expertise is lacking among PTR Committee members
- Specific procedure to be followed, in the rare event that external reviews are deemed necessary or requested
 - PTR Committee Chair manages the request and works with faculty member
 - Specific qualifications for external reviewers noted in the PTR policy
 - Standard letter and materials that are sent to external reviewers
- All letters solicited and received must be included in the PTR Committee's report

Criteria for PTR

The post-tenure review process should ensure the faculty member has demonstrated continued professional growth and productivity in the areas of teaching, research (including creative and other scholarly activities), service, and/or clinical care pertinent to his or her faculty responsibilities.

Criteria for assessing performance must:

- be consistent with **established expectations** of the division, department, and college
- provide **sufficient flexibility** to consider changes in academic responsibilities and/or expectations

Expectations:

- May differ by college, department, and even among sub-disciplines within a department or program
- May be commonly-held standards in the discipline or sub-discipline
- May be stated in the faculty member's own six (6) past annual performance reviews, work assignments, goals or other planning tools (however identified), as well as department or college bylaws, the UTHSC Faculty Handbook, the PTR policy, and in other generally-applicable policies and procedures (fiscal, HR, safety, research, ITS).

PTR Committee's Conclusions and Report

Charged with:

- reviewing faculty member's performance during the six-year period of review
- concluding whether the faculty member's performance satisfies OR does not satisfy the expectations for the faculty member's discipline and academic rank

Must also conclude for the six annual performance reviews either:

- That they satisfy the expectations of being reasonable, fair, accurate and high quality
- They do not satisfy the expectations of being reasonable, fair, accurate and high quality

Using a standard template, prepared by the CAO's office, the committee must report its conclusions, supporting reasons for the conclusions, and recommendations.

The report must be provided to the faculty member, division chief (if relevant), department chair, dean, and CAO. All may provide a written response to the CAO.

Further Actions, When Required

If the **faculty member's performance** has not satisfied the expectations for the faculty member's discipline and rank, a **PTR Improvement Plan** is required.

- Developed using the same procedures as the EPPR Improvement Plan
- Evaluated quarterly for a minimum of four quarters and at the faculty member's next annual performance review

If deficiencies are found to exist in the **departmental annual performance review process** (including failure to conduct rigorous annual performance reviews) OR if other incongruences are observed between the PTR performance review and rankings assigned through the annual performance review process, the **CAO must develop a process for addressing the issues.**

Faculty Member's Appeal (if any)

- Must be submitted within thirty (30) days of the faculty member's receipt of the PTR Committee report
- May appeal any conclusion about which the faculty member disagrees
- Use the appeal process described in Section 7 of the Faculty Handbook
- The Chancellor's final decision on the appeal shall be made within ninety (90) days of the faculty member's appeal
- The final decision of the Chancellor on an appeal stands and is not appealable to the President.

Important Activities

- ✓ Random Selection of Tenured Faculty
- ❑ Nominations of Committee Members by Faculty Member and Department Chair
- ❑ Committees selected by CAO
- ❑ Committee training
- ❑ Review materials due to Committee
- ❑ Committee reports findings
- ❑ Chancellor receives reports from CAO
- ❑ Chancellor provides decision
- ❑ Alternate timelines when:
 - External review is required
 - A PTR Improvement plan is required

Questions?

Resources:

Website

<http://uthsc.edu/afsa/faculty-affairs/faculty-resources.php>

Blackboard Organization (coming soon)

PTR: Post-Tenure Review (currently populating site)