

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, the department and the Chair will conduct an enhanced review to assess and inform the faculty member of his or her progress toward the grant of tenure during the third or fourth year of the probationary period (with the year to be determined in the department chair's sole discretion). The purpose of the Mandatory Interim Probationary Review is to establish a mutual understanding between the faculty member and the Chair regarding his or her progress towards attainment of tenure (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 (the department does not have at least 3 members qualified to vote on a tenure/promotion recommendation), and (2) by the Chair at the same time as the Annual Performance and-Planning Review. 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 year, and (2) a summary of the faculty member's proposed academic goals for the upcoming year; these are to be completed by the date specified in the Faculty Evaluation Calendar.

d. 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 calendar 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 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.

l. Upon completion of the review process, and no later than 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: Faculty Evaluation Calendar