A. Missions of the University of Tennessee Health Science Center

The four missions of The University of Tennessee Health Science Center are teaching (e.g., classroom or clinical), research/creative and other scholarly activities (e.g., publication based on funded or non-funded research, entrepreneurship such as translating and transferring technology to the commercial sector, published case studies, patient educational material), patient care (e.g., clinical practice), and university service/outreach (e.g., participation in University and College committees, community service, and participation in professional associations).

B. Appointment

1. Official appointment is made by letter from the Chair and the Dean. The appointment letter must specify the following:
   a. Rank,
   b. Salary and related financial considerations,
   c. Specific career track,
   d. Probationary status for tenure track appointments indicating annual notification of retention status and progress towards tenure and promotion,
   e. The academic year during which a tenure decision must be reached,
   f. General duties, specific expectations, and percentage of effort, and
   g. The home department, in the case of a joint appointment.

   Previous correspondence between the department Chair, Dean, Division Chief, Director, and prospective faculty member concerning these matters is unofficial and not binding on the University.

2. Written acceptance or signature on the appointment letter by the prospective faculty member, together with the execution of normal University employment forms and the Faculty Appointment Agreement form, completes the agreement of employment between the University and the new faculty member.

3. All full-time faculty appointments are made for a 12-month period.

C. Overview of Tracks

The University of Tennessee Health Science Center uses two tracks for appointment of individuals to the full-time faculty: tenure and nontenure. The tenure track is normally reserved for faculty who are committed to significant efforts and accomplishments in at least three of the four missions of the University, of which two must be teaching and research/creative and other scholarly activities. The percentage of effort in each area assigned must be at least 10% in order for activities in that area to be considered during promotion or tenure review. In addition, faculty members being considered for promotion must have made at least a minimal contribution in their
assigned missions. Tenure track faculty must make contributions in three of the four missions of UTHSC.

The nontenure track is normally reserved for full-time or part-time faculty whose efforts and accomplishments are in at least two of the missions of the University.

Faculty on both tracks make unique contributions to the institution and are eligible to hold identical titles: Assistant Professor, Associate Professor, or Professor, based on qualifications. Faculty appointed at the rank of Instructor are ineligible for a tenure track appointment.

D. Criteria for Appointment to Faculty Rank (Tenure Track)

All tenure track faculty are expected to contribute to the missions of teaching, research, and at least one of the remaining two missions (patient care or university service/outreach). While the general scope of performance at a particular rank is consistent across the UT Health Science Center, the particular requirements of the varying ranks are a function of the discipline to which the individual is appointed and/or by the assigned and expected duties as enumerated in the appointment letter. The exact apportionment of effort in teaching, research/creative and other scholarly activities, patient care and/or university service/outreach is a function of the expertise of the faculty member and the needs of the department, College, and/or University as determined by the Chair. All faculty are expected to pursue excellence in their respective fields.

In addition to the minimum expectations listed for each rank below, the University requires the Chair to determine and attest that each faculty member whose native language is not English is sufficiently competent in English to be able to perform his/her duties.

1. Assistant Professor
The rank of Assistant Professor may be granted to tenure or nontenure track faculty. If a tenure track position, however, tenure may not be awarded to individuals at the rank of Assistant Professor. Depending on the distinctive requirements contained in the letter of appointment, a faculty member with the rank of Assistant Professor is expected, at a minimum, to
   a. Hold the doctorate or other terminal degree of the discipline or equivalent training and experience appropriate to the particular appointment,
   b. Demonstrate potential for excellence in teaching,
   c. Demonstrate potential for excellence in research/creative and other scholarly activities,
   d. Demonstrate potential for excellence in service,
   e. Have demonstrated the ability to relate effectively to students and professional and
   f. Demonstrate potential for excellence in patient care (when applicable).

2. Associate Professor
The rank of Associate Professor may be granted to tenure- or nontenure track faculty. Depending on the distinctive requirements contained in the letter of appointment, a faculty member with the rank of Associate Professor is expected, at a minimum, to
a. Hold the doctorate or other terminal degree of the discipline or equivalent training and experience appropriate to the particular appointment,
b. Demonstrate significant contributions as a teacher and a strong likelihood of continuing effectiveness,
c. Demonstrate significant contributions as a researcher and a strong likelihood of continuing effectiveness,
d. Demonstrate significant contributions to service and a strong likelihood of continuing effectiveness,
e. Have demonstrated ability to relate effectively to students and professional colleagues,
f. Participate actively in professional associations,
g. Have published at least five peer-reviewed articles since last promotion,
h. Have held the rank of Assistant Professor at UTHSC or other accredited academic institution for at least 4 years,
i. Demonstrate significant contributions to patient care (when applicable), and
j. Be board eligible (when applicable).

3. Professor
The rank of Professor may be granted to tenure- or nontenure track faculty. Depending on the distinctive requirements contained in the letter of appointment, a faculty member with the rank of Professor is expected, at a minimum, to
a. Hold the doctorate or other terminal degree of the discipline or equivalent training and experience appropriate to the particular appointment,
b. Demonstrate a clear and convincing record of a high level of sustained effectiveness as a teacher,
c. Demonstrate a clear and convincing record of a high level of sustained effectiveness in research,
d. Demonstrate a clear and convincing record of a high level of sustained effectiveness in service,
e. Demonstrate the ability to relate effectively to students and professional colleagues,
f. Have a national or international reputation in the discipline,
g. Have published at least 10 peer-reviewed articles since last promotion,
h. Have held the rank of Associate Professor at UTHSC or other accredited academic institutions for at least 5 years,
i. Demonstrate a clear and convincing record of high level of sustained effectiveness in patient care (when applicable), and
j. Be board eligible (when applicable).

E. Criteria for Appointment to Faculty Rank (Nontenure Track)
Nontenure track faculty members are hired based on the needs of the university, college, or department, and their retention depends on the availability of funding and satisfactory performance. The nontenure track is normally reserved for full-time or part-time faculty whose efforts and accomplishments are limited to two of the four major missions of UTHSC: teaching, research/creative and other scholarly activities, patient care, and university service/outreach. In some cases, however, nontenure track faculty may be asked to devote their efforts to all four
missions, based on the needs of the department and the expertise of the faculty member. Conditions of employment and expectations as to the per cent effort that should be devoted to each of the missions are governed by the terms of the appointment letter. With the exception of those nontenure track faculty who are hired primarily for research/creative and other scholarly activity, nontenure track faculty are required to have a minimum of two peer reviewed publications to be promoted to the rank of Associate Professor, and five additional peer reviewed publications to be promoted to the rank of Professor. Nontenure track faculty who were hired primarily (i.e. at least 80% effort) to contribute in the area of research/creative and other scholarly activity are required to have at least five peer reviewed publications to be promoted to the rank of Associate Professor and ten additional peer reviewed publications to be promoted to the rank of Professor (e.g. the same level of scholarship as is required for the tenure track faculty).

In addition to tenure track and nontenure track appointments at the assistant, associate, and professor ranks, nontenure track appointments can also be made at the instructor level with the following criteria:

**Instructor**

The rank of instructor is considered transient and cannot be considered for a tenure track position. The individual appointed at this level must possess a

a. Terminal degree in the discipline or equivalent training and experience appropriate to the particular appointment;

b. Commitment to the university’s mission;

c. Satisfactory scholastic record as a student; and

d. Evidence of ability to relate effectively to students and professional colleagues.

**F. Faculty Performance Evaluation: Evaluation for Promotion**

Evaluation involves a systematic collection, analysis, and interpretation of information about the activities and outcomes of an individual faculty in order for faculty peers and administrators to make judgments about specific and overall aspects of what and how this individual faculty is progressing toward agreed-upon goals and, more importantly, how he/she can improve performance.

One of the most important functions of a Chair is to maintain program excellence and to attract quality faculty. The Chair is obligated to assess the progress and performance of faculty members and to decide, with the appropriate advice from faculty peers, whether they should be promoted or rewarded for their past performance or apprised that their performance needs improvement.

The evaluation of each faculty member must be based on the minimum criteria for rank and the level of accomplishments of the goals and objectives that were agreed-upon at the time of appointment and/or at the annual performance and planning review. Evaluations must specifically assess performance in each of the following missions: teaching, research/creative
and other scholarly activity, along with, where applicable, patient care and/or university service/outreach.

In addition to individual efforts, each faculty member is expected to function as part of a departmental team and to demonstrate a sense of collegiality. As such, he/she should show an interest in the success of the department as a whole by accepting assignments, actively serving on departmental, College, University or national committees; attending departmental/College functions; and actively participating in community based service projects. In addition, they should demonstrate the ability to relate, cooperate, and interact well with their peers. The value of such contributions is difficult to assess tangibly, but their importance is without question. Thus, the teaching, research, patient care, and service/outreach activities are all important in assessing faculty performance.

The activities outlined below are to be used as examples of criteria to be used in the evaluation of all full-time tenured/tenure track and nontenure track faculty.

1. **Teaching Performance**
   Examples of criteria that may be used to evaluate teaching performance are
   a. Participates with enthusiasm in teaching students (e.g., lecturing, laboratory, conferences, counseling);
   b. Communicates information and concepts in a clear and well-organized manner;
   c. Provides timely updates to teaching materials;
   d. Accepts criticism and respond appropriately to feedback regarding quality and effectiveness of teaching;
   e. Maintains broad, detailed, and current knowledge of the subject matter;
   f. Serves as a formal or informal mentor for students;
   g. Participates in interdepartmental/inter-professional teaching activities when requested;
   h. Experiments with new and innovative teaching approaches
   i. Encourages innovation
   j. Writes clear test questions designed to assess major concepts and prepare students for their professional careers
   k. Provides evidence of the success of former students; and
   l. Serves as a professional role model for students.

2. **Research/Creative and Other Scholarly Activities**
   Examples of criteria that may be used to evaluate research/creative and other scholarly activities are
   a. Demonstrates ability to conceive, execute, and report on research investigations (from grantsmanship to publication);
   b. Exhibits a creative and innovative approach to research;
   c. Publishes research in quality refereed journals;
   d. Collaborates with other faculty members in research projects;
   e. Shows continuity in research and perseverance in achieving research goals;
   f. Obtains and maintains adequate external funding for scholarly activities;
   g. Responds appropriately and in a timely manner to grant reviews;
h. Pursues opportunities to convert results of research into practical applications having societal or commercial value (e.g., obtains patents);
i. Serves as an invited expert at other institutions or scholarly groups;
j. Serves on editorial boards of journals and edits books in the areas of scholarly interest;
and
k. Participates as an invited speaker for research symposia, seminars, and special lectures.

3. **Service to the Department, College, University, Outreach**
   Examples of criteria that may be used to evaluate service are
   a. Serves on departmental, College, and University committees;
   b. Serves on local, regional, national, or international committees;
   c. Serves on committees to review research grant proposals in the area of expertise (e.g., NIH, American Cancer Society, American Heart Association);
   d. Serves on editorial boards of journals or as a referee for manuscripts;
   e. Edits books in the areas of scholarly interest;
   f. Participates in department, college, and university activities (e.g., seminars, conferences, faculty meetings);
   g. Speaks to external groups outside on current issues in health care;
   h. Participates in departmental functions;
   i. Is a member of and holds offices in professional societies;
   j. Participates in interdepartmental/inter-professional teaching, research, and seminar programs;
   k. Makes special contributions as recognized by peers and chair;
   l. Participates in local health care boards or provides leadership for local health-related volunteer organizations; and
   m. Serves on hospital boards and committees.

4. **Patient Care**
   Examples of criteria that may be used to evaluate patient care effectiveness are
   a. Manages patient care responsibilities so as to meet agreed-upon expectations as to the numbers of patients/procedures that would be expected in his/her discipline in his/her setting
   b. Provides clinical care that is viewed as competent by peers/other health care providers;
   c. Acquires and maintains board certification in his/her field;
   d. Participates in relevant professional societies;
   e. Participates regularly in continuing education activities so as to remain current in his/her specialty.

**EVALUATION POINT SYSTEM**

**A. General Statements Concerning the Point System**

1. No promotion should be made solely based on points. For each faculty member being considered for promotion, the department Chair must provide a letter of recommendation justifying the scores that were awarded and the promotion that is under consideration.
2. Having met the required point system, all candidates are still required to meet the specific career track minimum requirements of the rank to which they are seeking promotion.

3. To assist in the evaluation process, each candidate must provide an updated curriculum vitae and copies of annual faculty evaluations and reappointment letters received since the last promotion (see the Faculty Handbook, section 5.9 for a complete description of required materials for the promotion dossier). The candidate will also provide additional details as to his/her contributions in each assigned mission. For example, he/she will provide documentation of teaching activities, including the average number of contact hours/year and the types of teaching venues that were employed. Similarly he/she will list all service activities and provide an estimate as to the amount of time devoted to each of these activities. Research activities should also be documented by providing a synopsis of research interests and a list of all peer-reviewed and non peer-reviewed publications since the last promotion and a list of all funding that was obtained during that period. Where relevant he/she will also provide some context for assessing patient care activities, listing agreed-upon goals such as panel size, numbers of weekly clinics and/or numbers of procedures expected, etc, and providing evidence that these goals were accomplished. Using this information the departmental (College) promotion committee will score the accomplishments of the candidate in each mission relative to the percent effort devoted to each mission using the point system described below. This score will then be forwarded to the department chair or dean.

B. Point Allocation

Each category (teaching, research/creative and other scholarly activities, patient care, and service/outreach) has a total possible number of 9 points, divided among three subcategories. Points for each subcategory should be awarded on a 0-3 scale, where 0 reflects no contribution in a particular area, 1 reflects minimal contribution with respect to quality and quality and 2 reflects moderate contributions with respect to quality and quantity. A score of 3 should only be awarded for exceptional contributions, both with respect to quality and quantity; when such score is awarded, it must be justified by statements in the chair’s letter and by the documentation provided by the candidate as part of his/her dossier.

Mission 1: Teaching (maximum of 9 points)

Examples of activities that may be considered in allocating points for teaching are shown below. Each candidate should identify the three activities (subcategories) on this list that would be most appropriate for evaluating his/her accomplishments and provide an
appropriate grid for committee use. The score for these activities should reflect both the effectiveness and the level of contribution in each subcategory.

a. **Major teaching role** such as a course director, residency coordinator, director of departmental/college graduate programs
b. **Service as Lecturer/clinical mentor/research mentor/member of thesis or research oversight committees, student advising**
c. **Acknowledged excellence in teaching** as evidenced by excellent student and/or peer evaluations, teaching awards, awards to graduate students or fellows who were mentored by the faculty member, excellent outcomes on national board exams following specific faculty interventions such as the creation of practice exams, delivery of ‘prep’ sessions, etc.
d. **Innovation in education**, such as major course revisions, curriculum redesign, introduction of technology in the teaching setting

II. **Mission 2: Research/creative and Other Scholarly Activities (maximum of 9 points)**
Examples of activities that may be considered in allocating points for research/creative and other scholarly activity are shown below. The score awarded for these activities should reflect both the quantity of these activities as well as the quality of the contributions in this category

a. Publications – including peer-reviewed, and non peer-reviewed articles in professional journals, textbooks, book chapters, health care articles for the lay press, etc. Publications in peer-reviewed, high impact journals should be given the highest scores. Evaluators should note, however, that some disciplines may regularly report their work in more narrowly focused journals and that a simple assessment of the impact factor of these journals may underestimate the significance of the publications for these disciplines.
b. Extramural funding including grants from federal agencies (NIH, NSF, AHRQ, DOD, HERSA, etc.), foundations and institutes (American Heart Association, Muscular Dystrophy Association, National Cancer Society, etc.), pharmaceutical companies; training grants; inter-professional grants; other grants and contracts. The highest score should be awarded for grants that generate full federal-level ‘overhead.’
c. Other scholarly activities including manuscripts under review, invited lectures, patents, licensing agreements, presentations at national/international meetings, submitted abstracts, featured presentations at grand rounds, at local or regional societies, or for local special interest groups, service on editorial boards (note that the latter indicator may be used in this research category or in the service category, but it cannot count for both), development of new procedures, protocols or devices that improve health and/or raise standards of care.

III. **Mission 3: Patient Care (maximum of 9 points)**
Examples of activities that should be considered in allocating points for patient care are shown below.

a. **Productivity/patient load/scheduling** – Activities should be evaluated based on RVU targets and other agreed-upon patient care goals with respect to numbers of new and returning patients, numbers of procedures, numbers of clinic sessions per week, etc. Targets may differ depending on the site of care delivery and the specific discipline.

b. **Quality of care/patient satisfaction** - evaluated based on results of standardized evaluations carried out by practice setting, by evaluations of peers/other health care providers, by chart reviews, etc.

c. **Professional recertification/enhancement of knowledge base for clinical care** – acquires and maintains board certification/licensure by regular participation in professional societies and in continuing education programs in his/her field and/or by participation in special training programs

**IV. Mission 4: University Service/Outreach (maximum of 9 points)**

Examples of activities and material for consideration in allocating points for service/outreach are shown below:

a. **Institutional service** - Participation on committees for the UT system, Health Science Center, College, and/or department; presentation of continuing education programs for department, college or campus; organization of seminar programs, coordination of searches for faculty, deans, senior administrators.

b. **Professional service** – Participation in local, state, regional, national, or international organizations or professional societies, service on editorial boards, as a reviewer for professional journals or funding agencies (note that service on editorial boards may be considered under service or research but cannot count for both).

c. **Community service/outreach** - Presentation to civic groups or other local organizations, participation in k-12 outreach activities in area schools, organization and/or delivery of community health initiatives, providing clinical services in community settings (health care fairs).

After careful review and assigning of points in the appropriate categories, the expectations for promotion are as follows:

a) For promotion to **Assistant Professor**, the candidate must accumulate a total of 3.5 points if he/she does not have a clinical practice and 4.0 points if he/she has practice responsibilities.

b) For promotion to **Associate Professor** the accumulation of a minimum of 6 points is required since appointment or last promotion;

c) For promotion to **Professor** the accumulation of a minimum of 7.5 points is required since appointment or last promotion.
EXAMPLE TEMPLATE FOR CALCULATING SCORES BASED ON THE POINT SYSTEM

Each candidate must provide information as to the average per cent effort that he/she devoted to each of his/her assigned missions. For this example, assume the following distribution:

- 50% Research
- 30% Teaching
- 10% Patient Care
- 10% Service/Outreach

Assume further that the evaluators scored the activities in these categories as follows:

- 9 Research
- 7 Teaching
- 5 Patient Care
- 3 Service/Outreach

The overall score for this person would be:

\[
\{\text{\% of effort X category score (Research)} + \text{\% of effort X category score (Teaching)} + \text{\% of effort category score (Patient Care)} + \text{\% of effort X category score (Service/Outreach)}\} = N
\]

In other words:

\[
[(0.50 \times 9)] + (0.30 \times 7) + (0.10 \times 5) + (0.10 \times 3) = 7.4
\]

In this case, the score falls short of the requirement for promotion to full professor.
Appointment & Promotion of Volunteer, Adjunct and Affiliated Faculty (VAAF)

The University of Tennessee Health Science Center has had a strong and a long established tradition of volunteer faculty participation in its missions. The Volunteer, Adjunct and Affiliated Faculty (VAAF) play a major role in educating our students in their chosen professions. These faculty include practicing Physical Therapists, Physicians, Nurses, Pharmacists, Dentists, etc., who precept and train our students without compensation. We recognize that our students would be less proficient in their chosen field without exposure to these practicing clinicians. Thus, it is imperative to recognize these faculty members as professionals who improve the clinical performance of our students and acknowledge their overall contributions to the educational mission of the University of Tennessee Health Science Center.

Appointment & Promotion

It is very difficult to establish specific criteria for the appointment and promotion for these appointments for every division/department or college, thus discretion is left to each academic unit to meet its individual needs within established guidelines to determine appointment, continuation and promotion of these individuals.

Responsibility for recommending the appointment of volunteer, adjunct and affiliated faculty and the responsibility for recommending their promotions in rank rests with the Chair of the Department to which the appointment is made. The impetus of such recommendations should be made to the Dean and be based on the needs of the Department and the candidate’s desire and ability to advance the teaching, research/creative and other scholarly activities, patient care and university service/outreach missions of UTHSC.

Parameters:

1) Volunteer, Adjunct and Affiliated faculty are not eligible for tenure but are eligible for appointment and/or promotion to the various faculty ranks with the prefix of “Clinical,” for those with a professional degree, or “Adjunct,” for those not eligible to treat patients (e.g. Clinical Associate Professor or Adjunct Associate Professor); presentation of continuing education activities of the department, College, or University.

2) Minimum number of years in rank will be the same as regular faculty;

3) Appointments to the VAAF will be evaluated for renewal no less frequently than every three years. A VAAF appointment which is not renewed within three years after being granted is deemed terminated without the need for notice or other action by UTHSC;

Recommendation for promotion will be made by the chair and approved by the dean of the college prior to proceeding to the chief academic officer and higher channels.

Criteria;
Criteria for promotion will depend on the successful accomplishment of the assigned duties of each volunteer, the magnitude and the quality of the contributions and/or specific services rendered. In addition the evaluation by students, residents, patients and peers must be taken into consideration when applicable.

The criteria for promotion of volunteer faculty are less well defined than for full-time paid faculty. Therefore, the initial rank should be carefully considered when the individual is appointed. General University rules apply to these faculty so that, for example the interval between promotions in the volunteer faculty track should be at least the same as full-time paid faculty, and promotion should be based primarily on accomplishments since appointment or last promotion.

**Instructor:**

1. This position is viewed as transitory thus, where feasible, appointment at the rank of Assistant Professor may be considered.
2. The qualifications and potential for at least one of the missions of the University must be used for evaluating appointments.

**Assistant Professor:**

1. For basic science faculty, postdoctoral experience or equivalent experience is required. For physicians and other health professionals license to practice is required and board certification is recommended. Board eligibility is required for physicians except under extraordinary circumstances.
2. There must be demonstrated interest and participation in the goals of the division/department and/or college.

**Associate Professor:**

1. There must be demonstration of continued interest and commitment to the Division/department or college and to The UTHSC prior to consideration.
2. Candidate should demonstrate exceptional leadership qualities and achievements so as to be valued highly by colleagues at the local and/or state level.

**Professor:**

1. There must be demonstration of continued interest and commitment to the Division/department and/or college and to The UTHSC prior to consideration.
2. The primary consideration for promotion to Professor is substantial evidence of State, regional, national and/or international recognition in one of the three areas of teaching, research/creative and other scholarly activities or patient care. There should be a long term record of distinguished university service/outreach and or contributions locally.