

## **SOM FACULTY APPOINTMENT & TENURE/PROMOTION GUIDELINES - Tenure Track**

*Revised: 08/1997*

COMMENTS AND RECOMMENDATIONS FOR CHAIRS AND CANDIDATES

### **Introduction**

Advancement in academic medicine depends on adequate qualification in three areas: teaching, scholarship/research/creative work, service and/or administration. Promotion in rank and the granting of tenure in any department requires established excellence in at least two of the three areas and competence in the third. The qualifications require documentation. The [UNM SOM Tenure and Promotion Standards Guidelines \(adopted 12/19/1995\)](#) will assist the faculty member and the chair in preparing the required documentation for the faculty member's promotion and/or tenure dossier.

### **Time in Rank**

In the School of Medicine the minimum length of service at the rank of assistant professor before being considered for promotion to associate professor is normally five years. That is, the promotion decision is normally made no sooner than in the sixth year of service as an assistant professor. Similarly, the minimum time in rank as associate professor before being considered for promotion to professor is normally five years. Recommendation of a faculty member for promotion earlier than indicated above would require exceptional justification. It should be noted that, because identical criteria apply to promotion to associate professor and the granting of tenure, the Dean will not normally consider recommendations for promotion to associate professor without tenure, or for the granting of tenure without promotion. The only exception to this policy will be when a faculty member is initially hired at a senior rank on probationary tenure status.

It is emphasized that "time in rank" is a consideration; not lest anyone be promoted too quickly, but because promotion is based on evidence of excellence or competence in scholarship, teaching and service, and on evidence of commitment to this School and community. In the case of recent recruits to this School, "time in rank" elsewhere will be considered.

### **Chair's Recommendation and Dossier**

Primary responsibility for the initiation for academic promotion and/or granting tenure rests with the department chair. Primary responsibility for assembling the dossier and drafting the letter from the chair (see below) rests with the candidate. The chair can best interpret individual efforts in terms of overall departmental goals and objectives. In a cohesive and well integrated unit, individual members assume responsibilities on the basis of the interest, capabilities, and requirements of the group. Thus, it is incumbent upon the department chair to collect all the relevant data and prepare a letter of recommendation to be addressed to the Dean of the Medical School.

The chair should provide a letter with complete documentation (i.e., the dossier) as to why he/she is recommending tenure and/or promotion. It should be specific in that examples of the candidate's accomplishments should be included in every section dealing with the three areas under consideration. The letter should be drafted by the candidate. It should explicitly state the areas in which the candidate's record is considered "excellent" and "competent", according to the definitions in the [UNM SOM Tenure and Promotion Standards Guidelines, \(adopted 12/19/1995\)](#). The dossier assembled by the candidate should include only those items referred to in the draft chair's letter. The chair should work with the candidate in assembling the dossier and preparing the letter. The complete dossier will contain, in addition to the items referred to above, the confidential letters of recommendation. The chair's letter will include explicit references to these letters, in a manner that is consistent with their confidential nature. The committee should know how the recommendation for tenure and/or promotion was reached within the department. In particular, the Chair should indicate if the tenure and/or promotion decision was recommended by a committee of the senior faculty of the department, or in some other way. The criteria used by the department in recommending tenure and/or promotion should also be indicated.

The Dean will refer the promotion/tenure case to the appropriate School of Medicine Promotion/Tenure Ad Hoc Committee for their recommendation. However, the final recommendation of the School of Medicine rests with the Dean, while the final decision rests with the Vice President for Health Sciences. The Ad Hoc Committee may request further evaluation or documentation if it feels such is necessary.

Disapproval may be based upon:

1. Inadequate documentation of a candidate's qualification in the dossier.
2. An accelerated (see Time In Rank above) promotion/tenure decision that appears unwarranted.
3. A basic disagreement with the responsible chair concerning the assessment of an individual candidate.

In the event the appropriate Promotion/Tenure Ad Hoc Committee is considering a negative recommendation, the chair of the candidate may be invited to meet with the committee to discuss the situation, provide additional input, etc.

### **General Information**

It will be noted that the information requested below deals with the relatively current scholarly, teaching and service activities of the nominee. Information from undergraduate, doctoral, postdoctoral, and residency years, and pre-assistant professor years is helpful but unlikely to be determining. **Specific School of Medicine Standards will be found in the [UNM School of Medicine Tenure and Promotion Standards Guidelines \(12/19/95\)](#).**

In order to document a promotion and/or tenure, evidence is desirable in the following areas:

#### **I. Teaching Excellence**

Documentation of teaching excellence should include the candidate's teaching contributions in all classes taught as well as in non-classroom venues and should include activities related to:

- Medical Students
- Residents
- Fellows
- CME
- Graduate Students
- Diagnostic and Therapeutic Sciences Students
- Extramural Teaching Activities
- Other Teaching Activities

For each type of activity please indicate:

- Number of contact hours.
- Number of learners in each teaching activity.
- Out of class, informal, or unscheduled activities.
- Development of new teaching strategies.
- Teaching effectiveness indicated by:
  - **summarizing** all student evaluations in all activities, including end-of-course, end-of-rotation, undergraduate, graduate, and CME evaluations. A few selected critiques will not be sufficient. Evaluation forms which obtain appropriate information should be used and saved for later summary or inclusion in the tenure and/or promotion packet.
  - **including** individual letters of evaluation from students, interns, and residents, and other learners.
  - In addition, whenever possible, **the chair should seek first hand knowledge of teaching effectiveness** by attending lectures, small group discussions, etc. providing the committee with a frank appraisal of strengths and weaknesses.
- Evidence of course material or curriculum developed by the individual.

#### LEADERSHIP IN EDUCATION

Describe candidate's membership on local/national educational committees, including all university committee activities. The committee name, position on the committee, e.g., member, chairperson, etc., dates of service, and an estimate of the monthly time commitment should be included.

#### CREATIVITY IN EDUCATION

List authored educational materials (handouts, syllabi, etc.). Has the candidate identified problems in education, implemented strategies to solve these problems and studied the outcome of these interventions?

## **II. Scholarship/Research/Creative Work**

In many ways this item is both the easiest and most difficult for evaluation. In the case of research productivity, the total amount of grant funds obtained should be indicated as well as the ability to compete for renewal, papers published in peer reviewed journals, the number of papers on which the candidate is first or corresponding author, and the number of residents, graduate students, and postdoctoral fellows the candidate can attract to participate in his/her scholarly activities, books published, chapters published, etc.

It is clear, however, that not all scholarship need be in conventional biomedical research. Here are some examples: activities in development of new teaching techniques and programs, recognition by peers for contributing ideas about research, patient care, or teaching, recognition of the candidate as a responsible and effective critic, as well as certain other activities. To ensure that such activities are given proper consideration, the chair needs careful documentation of these kinds of scholarship. Most important, such contributions should have some recognition beyond the boundaries of the University of New Mexico.

For both kinds of recommendation evidence should be presented showing the recommended person as having national and/or international recognition. In the case of research people, this point could be supported by indicating membership on prestigious national committees, grant review boards, ad hoc recommendation groups, etc. Simple membership in national or international organizations is not enough, unless the organization is one which has a carefully selected membership based on achievement. Being an officer or a member of a committee of such a select organization should also be indicated.

The following should be used to document productivity in Scholarship/Research/Creative Works:

- Specify what national professional academic societies the candidate belongs to and the nature of their membership criteria. Evidence of significant participation is important. Of particular importance, is the presentation of papers at national meetings.
- With respect to an individual with an ongoing research program who (for whatever reason) has failed to publish a significant amount of the relevant data, progress reports may be useful to summarize current status, probable conclusions and further directions and funding.
- Suggest the names of three outstanding national or international figures in the narrow area of the nominee's work who may be contacted by the committee.

- In general, it will be expected that clinical appointments will be accompanied by appropriate board certification and non-clinical appointments by membership in the appropriate academic society.
- Extramural Research Grants  
To include all grants and/or contracts funded from either private or federal sources. Describe role in the project, duration and the amount of the award.
- Internal Research Grants  
To include all proposals funded from internal sources, e.g., Research Allocations, Departmental Funds, etc.
- Research Awards or Honors  
To include awards; such as NIH Research Career Development Award, etc.
- Publications or other peer-reviewed works (refer to the [UNM School of Medicine Tenure and Promotion Standards Guidelines \(12/19/95\)](#).  
Identify one or several works which the nominee, the chair, and other professionals regard as important or influential in the field, and submit reprints or copies.  
Indicate, in the case of multiple authorship, whether the nominee should be considered the responsible author or otherwise the nature of the candidate's contribution.  
Include three publications or works which the candidate considers most representative of his/her best research/scholarly/creative endeavors.
- Abstracts  
To include presentation at local, national, and international meetings.
- Invited Lectures  
To include local, national, and international invitations to present research lectures.

- Reviewing for Scientific Journals  
To include the name of the journal, and the dates of when serving.

### **III. Service and/or Administration**

Documentation of service should be based on the following:

- Clinical responsibilities with respect to amount and quality,
- University, statewide, national, and international committee services. Most often university committees are the most important, but others provide exposure of our medical school and enhance our reputation,
- Evidence that the candidate provides new ideas which help advance this medical school,
- Effectiveness of leadership when the candidate has administrative responsibilities in a program or service,
- In like manner, effectiveness in routine administrative tasks.

Service is intended to refer to:

- Performance in the discharge of patient care responsibilities,
- Degree of participation and leadership in the School of Medicine and the University,
- The development and implementation of programs and agencies that provide needed health services to the community and state,
- Professional service in the capacity as a consultant to other service, educational, or training agencies,
- Professional participation in other state or national professional organizations and activities.

In the above context:

It would be helpful to know the names of chairs and co-members of committees on which the nominee has served, both in the University and the community, in order to establish the vigor and productivity of service,

There are many ways in which a nominee may have served his/her department, school, or community by generous contribution of technical expertise. It will be helpful to know the names of specific individuals whose projects or patients have benefited from the willing but often unrecognized help of the expert nominee,

To the extent that the nominee's work as "consultant" is to be considered, it would be helpful if objective data were supplied concerning the type of request, the services offered and the effectiveness of the nominee in assisting the requester. For clinical faculty, this endorsement may be provided by the non-university, medical community, To the extent that clinical or administrative service within a department is especially relevant, the committee needs a comprehensive description of the contribution of the nominee. Questions that might be addressed: How has a particular service improved?

What training or treatment facilities have been developed because of his or her efforts? What programs have been maintained against a threat of dissolution? Has the nominee been especially effective in helping to minimize misunderstandings between the school and the community, the State House, or private physician? Has the nominee been conscientious in generating his/her share of school income in direct patient care or in related patient services?

Has the nominee been involved in various levels of non-local service?

- In refereeing in professional journals: which and how frequently?
- In U.S.P.H. Study Sections, Councils or other major advisory committees?
- In taking part in site visits?
- In invitations to organize national meetings, to address national meetings, or to contribute chapters to highly regarded textbooks or reviews, etc?
- In participation at other schools, or with scientific and medical groups, in presenting lectures, seminars or other educational services?

#### SERVICE - BASIC SCIENCES FACULTY

- **University Committee Participation**  
Include for all university committee activities, the committee name, position on the committee, e.g., member, chairperson, etc., dates of service, and an estimate of the monthly time commitment.
- **Local, State and National Committee Participation**  
Include all local, state, and national committees, such as study-sections, and holding office in professional organizations.
- **Departmental Service Activities**  
Include activities such as organizing department seminars and participation on special departmental committees. Do not include graduate study and teaching-related activities.
- **Graduate Study Activities**  
Include graduate student committee-on-studies, graduate student recruitment, advisory, steering, admissions, and other related activities. Give the approximate time devoted to such activities.

- **Community Volunteer Services**  
Include volunteer activities outside the university community, such as service on volunteer health and service organizations.
- **Other Service Activities**  
Include other service activities which are not included in the above categories.

### SERVICE - CLINICAL FACULTY

#### Direct Patient Care

- **Ambulatory Care**  
Time commitment of the candidate to outpatient care. Include number of patients seen per week. Give place of care: Office/clinic, community, home visits, etc.
- **Inpatient Care**  
Time commitment the candidate spends on direct patient care on the inpatient hospital service. Include number of patients for which candidates attending. Include average number of surgical cases done per week/year.
- **Diagnostic/Consultative Service**  
For services such as pathology, radiology, neurologic testing, EKG, etc., please give an analysis of time spent and nature of such activity.
- **University Physicians Associates**  
Include candidate's last two fiscal years statistics, with average data from division or department.
- **University Hospital Committees**  
Include all university/hospital committee activities. The committee name, position on the committee, e.g., member, chairperson, etc., dates of service, and an estimate of the monthly time commitment should be included.



- **Clinical Administration**  
Include responsibilities as service/division chief, clinical director, etc.
  
- **Service/Consultation to Other Departments**  
The service chiefs of University Hospital should be asked to comment on the quality service/consultation they receive from the candidate.
  
- **Other Clinical Services**  
Include all relevant activities not included above.

#### IV. Letters of Support

Letters of support should be solicited from the following groups of individuals. Please be sure to state in the letter that replies will be held in confidence. Please refer to page E-1 in the current UNM Faculty Handbook for the section on "Confidentiality of Faculty Records."

1. **Departmental and Peer Letters of Support**  
The department chair should solicit independent letters of support from other peers. These letters should be addressed to the department chair. It is recognized that in some smaller units there may be fewer peers. In this case, the chair should solicit letters from peers outside of the department wherein the person writing knows the candidate well and can provide specific details about her/his performance. It is best to have some letters from people outside the department for all recommendations. **If an individual has a secondary appointment in consideration for promotion, peers within that department should write letters of support also.**
  
2. **Outside Letters of Support**  
All recommendations should be accompanied by a number of letters from individuals outside of this University. There is a tendency for chairs to use letters from past collaborators almost exclusively. Some of these are acceptable, but the argument is made stronger if letters are received from those peers who have never worked with but know the accomplishments of the candidate. Past and current undergraduate medical students, residents, and graduate students should be solicited for evaluations of the faculty members teaching.

All letters of evaluation from peers outside of the university should clearly indicate whether or not the person being recommended has a prestigious reputation at the national

and/or international level. It is useful when soliciting these letters to include a complete C.V. and reprints of some of the candidate's most significant publications. The respondent should provide a candid appraisal of the candidate's achievements with some specific examples wherever possible. Most important, the respondent should also indicate whether or not the candidate would be granted tenure and/or promoted at her/his institution.

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## **DIRECTIONS FOR COMPLETING THE TENURE AND/OR PROMOTION DOSSIER/NOTEBOOKS**

*Revised: 08/19/1997*

### **PROVIDE ONE SET OF ORIGINAL DOCUMENTS IN A HANGING FILE FOLDER AND ONE PHOTOCOPIED SET IN THE NOTEBOOK.**

Below are the eight sections in the tenure and/or promotion notebooks. Each section is referenced with instructions. **Notebooks are to be prepared for all faculty who are eligible for tenure. If a negative departmental tenure decision is reached regarding an individual, the department is required to submit that packet to the Dean also. The Ad Hoc Tenure Committee will review this documentation. It is of utmost importance that Section iii - Tenure Review, page B3 of the UNM Faculty Handbook be followed regarding notification and due process.**

#### **SECTION A - LETTER OF RECOMMENDATION FROM THE DEPARTMENT CHAIR**

The Chair's letter **must** state that the senior members of the Department have met and are recommending this individual for tenure/promotion. If this decision is not unanimous, please note this in the letter. Additionally, this letter should clearly delineate the areas of excellence and the area of competence and should refer to the documentation contained in the dossier. Refer to the "Faculty Appointment and Tenure/Promotion Guidelines - Comments and Recommendations for Chairs."

#### **SECTION B - PROMOTION/TENURE RECOMMENDATION FORM**

The completed two page "UNM Tenure/Promotion Form." (Forms available in SOM Office of Academic Affairs, Room 180 BMSB.)

**If the faculty member being nominated for promotion has a secondary appointment and is being nominated for promotion in that department also, the Chair of that department must also sign the form and provide a letter of recommendation for promotion.**

#### **SECTION C - CURRICULUM VITAE**

The faculty member's current C.V. using the SOM Standard Form C.V.

**SECTION D - TEACHING/EDUCATIONAL PRODUCTIVITY**

Use the guidelines from the UNM Faculty Handbook, pages B-19 through B-21, as well as the UNM SOM Tenure & Promotion Standards Guidelines (12/19/95) and the SOM Faculty Appointment & Tenure/Promotion Guidelines (Revised 8/97).

**SECTION E - RESEARCH/SCHOLARSHIP/CREATIVE WORK**

Use the guidelines from the UNM Faculty Handbook, pages B-19 through B-21, as well as the UNM SOM Tenure & Promotion Standards Guidelines (12/19/95) and the SOM Faculty Appointment & Tenure/Promotion Guidelines (Revised 8/97).

**Section E1 PUBLICATIONS**

This subsection entitled "Publications" should include **three** publications which the candidate considers most representative of his/her best research/scholarly/creative endeavors.

**SECTION F - SERVICE**

Use the guidelines from the UNM Faculty Handbook, pages B-19 through B-21, as well as the UNM SOM Tenure & Promotion Standards Guidelines (12/19/95) and the SOM Faculty Appointment & Tenure/Promotion Guidelines (Revised Edition 8/97).

**SECTION G - CONFIDENTIAL LETTERS OF EVALUATION**

Use the SOM Faculty Appointment & Tenure/Promotion Guidelines

**Note: Letters of evaluation are due the first Friday in December. Any letters received after that time will be included in the permanent file but not in the tenure/promotion notebook.**