

UT SOUTHWESTERN POLICY HANDBOOK

FAC-351 CRITERIA FOR PROMOTION AND TENURE

CHAPTER 11: FACULTY

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ADMINISTRATIVE INFORMATION

Responsible Office: Dean's Office
Executive Sponsor: Provost
Effective Date: 01/01/1998
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POLICY RATIONALE AND TEXT

It is the policy of UT Southwestern Medical School that all faculty members nominated for promotion with or without tenure receive a fair review against established criteria. Criteria vary by track and title to which promotion is sought.

In the fall of each academic year, the Dean of the UT Southwestern Medical School (UTSMS) requests nominations from department chairs and center directors of faculty members who demonstrate accomplishments that warrant consideration for promotion and/or tenure. Department chairs and center directors in conjunction with faculty members prepare and submit nomination packets electronically. The nomination packets are reviewed for completeness and forwarded to the chair of the Faculty Promotion and Tenure Committee (P&T Committee). The P&T Committee meets weekly from December until it completes the review of all nominees. The P&T Committee makes recommendations after each meeting to the Dean. The Dean notifies the department chairs and center directors whether the Dean concurs with the recommendation of the P&T Committee and whether UT Southwestern and the UT Southwestern Medical School (UTSMS) will recommend the nominee to the UT System Board of Regents. Board of Regents approval is the final step in the promotion and tenure process.

Changes in an approved nominee's academic rank and/or tenure status become effective at the beginning of the next academic year.

Nominations for Promotion and Tenure

Department chairs and center directors in conjunction with nominees submit a nomination packet composed of the following core components:

- Signed letter of recommendation from the department chair and/or center director addressed to the Dean.
- Signed letter of recommendation from the secondary appointment chair(s) and/or center director(s) addressed to the Dean, if applicable.
- Signed letter of recommendation from the graduate program chair, if applicable.

- Offer from another institution, if applicable.
- Curriculum vitae (CV), including grant support and teaching activities.
- Undergraduate Medical Education Teaching Evaluations, if applicable.
- Graduate Medical Education Teaching evaluations, if applicable.
- Clinical service responsibilities, if applicable.
- Press Ganey scores, if applicable.
- Copies of publications, (Accepted, In-Press, or Published Only).
- A separate description of each publication.
- Professional references (four to six individuals).

Criteria for Promotion on the Tenure-Accruing/Tenure Track

Basic Scientists (including those in clinical departments): Promotion to Associate Professor

Basic scientists on this track must spend the majority of their time in research and teaching activities. To achieve promotion and tenure to the rank of associate professor, a basic scientist must meet the following criteria:

1. **Research.** The nominee's research must be excellent. The nominee must have a national reputation as an independent research scientist as evidenced by multiple publications in well respected and peer-reviewed journals, receipt of competitive grants from national agencies, and delivery of seminars at universities and national meetings. The research must be original, significant, and sustained. Additional activities that substantiate candidacy for promotion include multidisciplinary collaborative research publications, publication of chapters in well-known textbooks, editorship of respected books, membership on editorial boards of highly respected journals, membership on peer review committees, and/or commercialization of research findings.
2. **Teaching.** The nominee must actively participate in the teaching missions of UT Southwestern and exhibit excellent educator skills. Participation includes delivery of didactic lectures; laboratory instruction of students, fellows, and/or faculty; mentoring junior faculty and/or trainees; service on dissertation and oral examination committees; participation in small group teaching, journal clubs, or other regularly scheduled teaching/training conferences; and/or administrative work related to courses (director/organizer).
3. **Other Activities.** The nominee must be an excellent citizen within the UT Southwestern community. Citizenship may take the form of organizing departmental seminar series, participation in training grants, hosting outside speakers, and/or service on essential committees or review panels.

Clinical Scientists: Promotion to Associate Professor

Clinical scientists on the tenure-accruing/tenure track must spend a majority of their time in research and teaching activities. Nominees are expected to achieve board certification in a designated area of clinical expertise, and possess a reputation for clinical excellence. To achieve promotion and tenure to the rank of Associate Professor, a clinical scientist must meet the following criteria:

1. **Research.** The nominee's research must be excellent. The nominee must have a national reputation as an independent research scientist as evidenced by multiple publications in well respected and peer-reviewed journals, receipt of competitive grants from national agencies, and delivery of seminars at universities and national meetings. Research

may be basic, clinical, or translational, but it must be original, significant, and sustained. Additional activities that substantiate candidacy for promotion include review service for scientific journals, membership on national review or advisory panels, and/or commercialization of research findings.

2. **Teaching.** The nominee must participate actively in the teaching mission of UT Southwestern and exhibit excellent educator skills. Participation includes delivery of didactic lectures; laboratory and/or clinical instruction of students, house staff, fellows, and/or faculty; participation in small group and ward teaching; mentoring junior faculty and/or trainees; administrative work related to courses (director/organizer); and/or active participation in one or more Grand Round series.
3. **Clinical Practice.** The nominee must be an excellent practitioner.
4. **Other Activities.** The nominee must be an excellent citizen within the UT Southwestern community.

Basic and Clinical Scientists: Promotion to Professor

Promotion and tenure to the rank of Professor on the Tenure-accruing/Tenure Track requires that the nominee meet the aforementioned criteria, have maintained scholarly productivity as an associate professor, and have a national and international reputation for scholarly excellence. The nominee should be a leader in his or her field as evidenced by frequent invitations to speak at national meetings and well respected institutions, participation in important scientific review groups and/or leadership in national or international professional societies/organizations. The nominee must be an excellent citizen, both by contributing to the necessary functions of the school and by acting as an effective mentor of students, residents, fellows, and/or junior faculty. The nominee is expected to have brought prestige and honor to UT Southwestern.

Criteria for Promotion on the Clinical Scholar Track

Promotion to Associate Professor

1. **Clinical/Patient Care Activities and Teaching.** The nominee must spend a substantial amount of his/her time in clinical/patient care activities and teaching. Teaching means the effective imparting of knowledge and experience to colleagues and trainees (including medical students, graduate students, residents, and fellows) as well as mentoring junior faculty and/or trainees. To achieve promotion, the nominee is expected to have an excellent to outstanding reputation for both clinical care and teaching, and to hold board certification in his or her specialty.
2. **Scholarly Activities.** The nominee must be active in the generation and/or dissemination of knowledge related to his or her area of expertise. The nominee must conduct research independently or as a member of a research team, but the nominee must be the driving force in some area of his or her scholarly activities, which may consist of (a) being the principal investigator or site principal investigator on research grants and/or (b) being the corresponding or senior author on publications of original research in highly respected journals over a sustained period of time. Publications may consist of (a) reports of original research; (b) descriptions of case series; or (c) review articles. Additional activities that enhance the nominee's suitability for promotion include (a) publication of chapters in well-known textbooks of medicine and science; (b) editorship of respected books; (c) oral and poster presentations at national or international meetings; (d) extramural funding of the nominee's research efforts; (e) membership on editorial boards of highly respected journals; (f) membership on peer review committees (e.g. study sections or professional boards); and/or (g) commercialization of research findings.
3. **Other Activities.** The nominee must be an excellent citizen within the UT Southwestern community.

Promotion to Professor

Promotion to the rank of professor on the clinical scholar track requires that the nominee (a) meet the criteria for promotion to the rank of associate professor and (b) have an excellent national/international reputation among peers. The nominee's performance must bring prestige and honor to UT Southwestern.

Tenure on the Clinical Scholar Track

To achieve tenure, the nominee must have maintained the criteria for promotion to professor, and in addition have attained a national or international reputation as an independent research scientist as evidenced by multiple publications in well respected and peer-reviewed journals, receipt of competitive grants, and delivery of seminars at universities and national meetings. Research may be basic, clinical, or translational, but it must be original, significant, and sustained. Additional activities that substantiate candidacy for promotion include review service for scientific journals, membership on national review or advisory panels, participation on writing committees for important guidelines or consensus documents, and/or commercialization of research findings.

Criteria for Promotion on the Clinician-Educator Track

Promotion to Associate Professor

1. **Clinical/Patient Care Activities.** The nominee must spend the great majority of his or her time in clinical activities and patient care. Promotion requires that the nominee demonstrate sustained excellent clinical and/or health care provider performance. The nominee must have an excellent reputation among peers and trainees, and excellent ratings on patient satisfaction data, if available. Receiving consultation requests from colleagues inside and outside UT Southwestern and/or receiving referrals from the community further demonstrates excellence. The nominee is expected to hold board certification in his or her medical specialty.
2. **Academic Participation.** The nominee must make a measurable and valued contribution to the department's academic mission. This contribution must take the form of teaching activities (including mentoring junior faculty and/or trainees) which are excellent to outstanding. The nominee must distinguish himself or herself in one or more of the following areas; participation in the generation of knowledge, which is enhanced by his or her inclusion as a co-author, writing reviews or chapters of textbooks, invitations to speak at regional or national meetings, presence on external review panels, leadership activities in regional or national organizations, or invitations to participate in extra-institutional CME activities.
3. **Other Activities.** The nominee must be an excellent citizen within the UT Southwestern community.

Promotion to Professor

Promotion to professor on the clinician-educator track requires that the nominee meet the criteria for promotion to associate professor over a sustained period. The nominee must be a highly respected and expert clinician and/or clinical care provider in his or her area of expertise, and demonstrate sustained contributions to teaching and/or research. The nominee must have a sphere of influence or significant reputation outside of UT Southwestern. The nominee can acquire this significant reputation by publication of original articles, reviews, chapters in textbooks, invitations to speak at regional or national meetings, development of clinical programs, presence on external review panels, or leadership activities in regional or national organizations. Being sought out for consultation by physicians outside the institution and being the recipient of referrals from the community will further demonstrate evidence for a reputation that extends beyond our campus.

Tenure on the Clinician-Educator Track

Tenure may be awarded to individuals on the clinician-educator track who have truly extraordinary skills and a reputation as one of those rare physicians whose excellence transcends the boundaries of outstanding clinical skills. In addition, teaching and research contributions (or both) must be at a sustained level of excellence over a long period. The nominee is expected to have brought prestige and honor to UT Southwestern.

Criteria for Promotion on the Research Track

Promotion to Associate Professor

Nominees for promotion to the rank of associate professor on the research track must spend the great majority of their time in research-related activities as an investigator and/or coordinator/director of a basic science or clinical research program. The nominee's research program may be independent of or in conjunction with other faculty members of UT Southwestern. The nominee must have a national reputation as a research scientist as evidenced by (a) a sustained publication record in well-respected, peer-reviewed journals; (b) receipt of competitive grants from national agencies (as an independent or co-investigator); (c) delivery of seminars outside the institution; (d) oral presentations at national meetings; (e) review service for scientific journals or panels; and/or (f) commercialization of research findings. Nominees will be considered for promotion if they do not have "ownership" of their research program but whose work is deemed to be essential to the success of multiple other research programs. A nominee's suitability for promotion is enhanced by participation in the teaching missions of UT Southwestern, including (a) laboratory instruction of students, fellows, and/or faculty; (b) delivery of didactic lectures; (c) participation in small group teaching; and (d) participation in journal clubs. The nominee must be an excellent citizen within the UT Southwestern community.

Promotion to Professor

Promotion to the rank of professor on the research track requires that the nominee meet the criteria necessary for promotion to the rank of associate professor and have a national reputation for scholarly excellence. The nominee must be a leader in his or her field evidenced by (a) frequent invitations to speak at national meetings or other well-respected institutions; (b) participation in important scientific review groups; and/or (c) leadership in national/international professional societies/organizations. Nominees are eligible for consideration for promotion to professor if they do not have "ownership" of their research program but they make significant and sustained contributions that are deemed essential to the success of multiple other research programs. The nominee must bring prestige and honor to UT Southwestern.

It is not possible to receive tenure on the research track.

Definition of Excellence for Clinical Practitioners

To be considered an excellent clinician, a nominee must achieve excellence in the six ACGME competencies. UT Southwestern clinicians should strive to be excellent in all six areas. Nominees should serve as role models for medical students, residents, fellows, and colleagues.

It is important to distinguish between a "marker" of excellence and a "criterion" for promotion. The term "marker" refers to an attribute that may be used to judge excellence in basic competencies of clinical practice. In contrast, a "criterion" refers to a standard of excellence in clinical practice that must be met or surpassed.

The core competencies (listed alphabetically), and the associated markers for excellence (listed numerically) are as follows:

- A. Patient care that is compassionate, appropriate, and effective for the treatment of health problems and the promotion of health.

1. Strong local reputation among faculty and trainees for clinical excellence and service to patients (e.g., would be comfortable with nominee being physician for evaluator, family and loved ones).
 2. Nominee is a recognized referral source in his or her area of expertise locally and regionally.
- B. Medical knowledge about established and evolving biomedical, clinical, and cognate (e.g., epidemiological and social behavioral) sciences, as well as application of this knowledge to patient care.
1. Demonstrates “cutting-edge” technologies and knowledge in area of expertise; effectively transmits these new concepts to trainees.
 2. Effective teacher of residents, students, other trainees, and colleagues.
 3. Participates in clinical research programs. This may include enrolling patients into clinical trials, analyzing clinical-pathological material, and contributing to design and analysis.
 4. Demonstrates involvement in transmitting clinical knowledge through participation in lectures, postgraduate courses, and symposia.
 5. Transmits new information as an author or co-author.
- C. Practice-based learning and improvement that involves the investigation and evaluation of patient care, the appraisal and assimilation of scientific evidence, and improvements in patient care.
1. Demonstrates excellence in clinical outcomes.
 2. High level of patient satisfaction.
 3. Strong approval of referring physicians.
- D. Interpersonal and communication skills that result in the effective exchange of information and collaboration with patients, their families, and other health professionals.
1. Demonstrates excellence in ability to communicate effectively with other health care professionals.
 2. Demonstrates excellence in educating and counseling patients and families.
- E. Professionalism, as manifested through a commitment to fulfilling professional responsibilities, adhering to ethical principles, and showing sensitivity to patients of diverse backgrounds.
1. Maintains high standards of ethical behavior.
 2. Demonstrates exemplary sensitivity to age, gender, and culture of patients and other health care professionals.
- F. Systems-based practice, as manifested by actions that demonstrate an awareness of and responsiveness to the larger context and system of health care, as well as the ability to call effectively on other resources in the system to provide optimal health care.
1. Participates actively in local clinical practice committees; demonstrates leadership in these committees. Examples of such committees include Pharmacy and Therapeutics Committees, Credentials Committees, Quality Improvement Committees, and Blood Bank Committees, Outcomes Assessment Committees, Audit Committees, etc.
 2. Develops a reputation for delivering high quality, cost-effective patient care.
 3. Collaborates well with other specialists and other health care professionals in overall patient management.

SCOPE

This policy applies to all individuals appointed to the faculty of the UTSMS regardless of pay source.

PROCEDURES

[FAC-301 Academic Tenure, Probationary Period, and Extension of Maximum Probationary Period](#) describes faculty ranks eligible for the award of tenure as well as the probationary period and extension of the maximum probationary period.

[FAC-204 UT Southwestern Medical School Faculty Promotion and Tenure Committee](#) set forth the promotion and tenure process and procedures.

Promotion and Tenure (P&T) Packet Requirements describe the documents to be submitted in the electronic P&T System for consideration by the P&T Committee.

RESPONSIBILITIES

The **UTSMS Dean** requests nominations for promotion and tenure in the fall of each academic year. The Dean, or his designee, reviews the nomination packets received from department chairs and center directors and forwards the nomination packets of nominees the Dean finds appropriate for consideration to the P&T Committee for review. The Dean reviews and either approves or rejects the promotion and tenure recommendations of the P&T Committee and advises the department chair or center director whether he concurs with the recommendation of the P&T Committee. The Dean, through the annual budget process, refers nominees chosen for promotion to the Board of Regents for consideration.

The **department chair or center director** works in conjunction with nominees to create the nomination packets that they forward to the dean.

Nominees work in conjunction with department chairs and center directions to create the nomination packets that they forward to the Dean.

The **P&T Committee** reviews all nominees for promotion and tenure consistent with the criteria set forth in this policy while following the processes and procedures set forth in [FAC-204 UT Southwestern Medical School Faculty Promotion and Tenure Committee](#), and makes recommendations regarding promotion and/or tenure to the Dean.

RELATED STATUTES, POLICIES, OR STANDARDS

UT System Regents' *Rules and Regulations* Rule 31001 Faculty Appointments and Titles

UT System Regents' *Rules and Regulations* Rule 31007 Tenure

[FAC-204 UT Southwestern Medical School Faculty Promotion and Tenure Committee](#)

[FAC-301 Academic Tenure, Probationary Period, and Extension of Maximum Probationary Period](#)

Electronic Promotion and Tenure

<http://www.utsouthwestern.net/intranet/education/faculty/electronic-promotion-tenure/>

CONTACTS/FOR FURTHER INFORMATION

POLICY HISTORY

August 22, 2019: Updated the list of core components to be submitted in the nomination packet, and added “tenure-accruing” to references of “tenure track.”

June 29, 2018: Changed “faculty nominee” to “nominee” and updated the section titled “Tenure on the Clinical Scholar Track” to make it consistent with sections listed under “Criteria for Promotion on the Clinical Scholar Track.”

October 9, 2017: Reviewed, revised, and published as FAC-351 Criteria for Promotion and Tenure.

September 2014: Updated as appropriate to be consistent with current information regarding Regents’ *Rules*, names of institutional offices, and position titles.

August 23, 2011: Transferred 4.4.4 to online *Handbook* as FAC-351 Criteria of the Medical School Promotion and Tenure Committee.

January 1998: Published as 4.4.4 Criteria of the Medical School Promotion and Tenure Committee.