Reappointments, Promotion and Tenure of Assistant Professors in the BSD-Track: Processes and Practices

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Dean for Faculty Affairs
Related Dean’s offices and how we can help

The BSD’s Office of Faculty Affairs (OFA) and Office of Academic Affairs (OAA) play roles in Reappointment, Promotion and Tenure.

OFA’s focus is on educating faculty about the process and supporting their development of outstanding faculty careers.

OAA oversees reappointment/promotion/tenure processes, shepherding the case through the stages of review.

This OFA presentation highlights important elements of the process and provides advice accumulated from senior faculty. However, Dept. cultures vary and it is important to talk to your chair, section chief and/or promotion committee about their expectations. In addition, full policy/process documentation is available online from OAA.
BSD Track
Reappointment, Promotion and Tenure.

Overview
Processes
Promising practices and advice
BSD Track
Reappointment, Promotion and Tenure.

Overview: Broad perspective on expectations.
Expectations of high caliber work:

Important
Innovative
Impactful
Creative
Productive

There is no judgment on field, rely on case put forth by your department and external peer reviewers.
Outstanding scholarship is the primary expectation. Defined as *creation of new knowledge.*

Other activities can support or detract from the case but outstanding scholarship is the foundation.

In addition, faculty efforts are expected to include:
- Education
- Citizenship
- Clinical activities (if appropriate)
Some factors used in the evaluation of scholarship.

**Peer-reviewed publications:**
- Quality and Impact
- Number

*Indicators of outstanding work will vary by discipline (e.g. top journals in large disciplines tend to have higher impact factors than top journals in small disciplines; some disciplines are more readily published in Science or Nature than others).*
Some factors used in the evaluation of scholarship.

What about Team Science?

Need to consider the case for intellectual ownership of ideas. Is the candidate performing work to address major questions posed by others or are those ideas generated by the candidate?

Examples: Collaborations of theorists and experimentalists.
Some factors used in the evaluation of scholarship.

Peer-reviewed funding success:

Is neither necessary nor sufficient but it is very important factor that is considered because it is an indication of ability to perform work and an example of positive peer-review.
Some factors used in the evaluation of scholarship.

Esteem by the Community:

Evaluation letters from experts (requested by your chair)

Invitations to speak about your research at other institutions.

Participation in grants panels and other service related to your research expertise.
Beyond scholarship.

Other areas of our expected contribution:

- Education
- Citizenship
- Clinical effort (if appropriate)

There is expectation of appropriate effort and that effort be at high quality. Commitments should be discussed with the leadership of your unit (Department Chair/Section Chief).
Beyond scholarship.

Other areas of our expected contribution:

Education – Participating in classroom teaching, formalized training, other. Review teaching commitment in contract.

Citizenship – Committee service, taking on roles in service to the institution beyond teaching.

Clinical effort (if appropriate)

It is important to be citizens of the University but always keep in mind who is evaluating your case. Consider the value to you of different service/education roles.
Some factors used in the evaluation of teaching and training.

Course load/training load in formalized experiences.  
Class size and structure, service or specialized.

Contribution to department/program’s teaching needs.

Evaluation of education efforts.

In cases of sub-par evaluation, evidence of effort to improve.

Creative efforts in teaching, improving pedagogy.
Some factors used in the evaluation of citizenship and clinical effort.

Effort needs to be of the highest quality.

Following through on expectations/ responsibilities.

Evaluations, in some cases formal and often informal.

Appropriate work quantity.

On optional opportunities, there is a balance between being a positive, enthusiastic and contributing member of the community while also protecting needed time for scholarship.
Looking at accomplishments and trajectory.

There is no checklist to complete.

Review of accomplishments is nuanced, as cultures/expectations vary across disciplines and departments.

Review of trajectory is also nuanced, even more so, as are using past performance to make predictions of future success.

This variability can feel amorphous but is important and an asset to faculty in the process and diversity/creativity of work at the institution.
Looking at accomplishments and trajectory.

This is a useful table supplied to external evaluators that reflects these elements of the process.

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BSD Track

Reappointment, Promotion and Tenure.

Processes related to reappointment, promotion and tenure.
Pre-tenure, we are all on multi-year appointment cycles.

Toward the end of each cycle, we are evaluated to determine whether progress and trajectory warrant a renewal.

For assistant professor reappointment, feedback is provided to faculty members to help them succeed in the next stage of their careers.

Dual aims for reappointment of:
   1. supporting individual faculty as we develop in our careers and
   2. being University-minded, striving for programs of high stature.

For promotion, the aim of the process is evaluative. However, the preparation to go up for promotion and tenure can be useful in thinking broadly about career aims and scholarly and other contributions.
Timeline for Promotion & Tenure on the BSD Track

**Promotion with Tenure**

- Promotion: 3 - 4 Years before end of yr 7
- Tenure: before end of yr 7
- Initial Appointment: Assistant Professor
- Promotion with Tenure: Associate Professor
- If extension (new parent), before end of yr 8

**Promotion without Tenure**

- Promotion: 3 - 4 Years before end of yr 7
- Tenure: up to 3 years after promotion
- Initial Appointment: Assistant Professor
- Promotion to Associate Professor without tenure
Reappointment

The first Department and Division-level review, approximately midway between appointment and tenure.

This is an internal process (no external letters).

Typically occurs at 3-4 years.

Typically evaluation of the candidate and **formative feedback**.
Promotion to Associate Professor and Tenure

Review at Department, Division and at the Provost levels.

External letters are required

Occurs before the end of seven years, some are put up early, others may be eligible to stop the clock, extending this duration.
If appointed as Associate without Tenure.

Not typical process and only used in particular cases.

Have two years to get tenure after promotion to Associate.

A full package has to be put in again before the appointment ends, including new external letters.
Pathway for Reappointment and Promotion Materials.

Department (internal processes/vote).

Divisional Committees (COROAP for reappointment, COAP for promotion/tenure)

The Dean of the BSD.

The Provost’s Office. Authority to reappoint and promote

Authority to bring case.
Evaluation of case is advisory

Advisory

Endorses case.
Departments have their own reappointment and promotion processes.

Departments are required to have a fair, uniformly applied promotion review system but vary in how they implement it.

Promotion committees
Who votes?
Ask chair for department’s policy

However, the elements of the package of materials that are submitted to the Division are consistent across Departments.
Divisional review includes:

1. Discussion and advisory vote by Division Committees whose members are senior BSD track faculty from across the Division. Additional information may be requested from the Department.

   COROAP: Committee on Reappointment of Assistant Professors.

   or

   COAP: Committee on Appointments, Promotions and Tenure.

2. Review by Dean and recommendation to Provost.
Provost review includes:

1. All packages are reviewed in the Provost’s office and they may discuss package with Divisional representatives to clarify.

2. The Provost makes the ultimate decision to reappoint, promote, tenure or not to renew the appointment.
For a typical case, the schedule for hearing outcome of your reappointment, promotion or tenure:

If the term appointment started **July – December**, you will be notified on **December 15th** of your final year.

If the term appointment started **January – June**, you will be notified on **June 15th** of your final year.

This will be different in special circumstances, for example, if you go up early.
Stop the clock – why when and how.

I. An Assistant Professor on the tenure track or an untenured Associate Professor on the tenure track who becomes the parent of a child by birth or adoption at least nine months prior to the date on which the University is required to make promotion notification **will automatically be granted** a one-year extension of the current term appointment for each pregnancy or adoption if the faculty member has equal or primary care giving responsibilities…..continued, elaboration follows.

II. An untenured tenure-track faculty member **may request** a one-time term extension for other reasons, such as to care for a sick or disabled immediate family member or to attend to his or her personal illness or disability…… continued, elaboration follows.

**Talk to your chair/dean about plans.**

http://facultyhandbook.uchicago.edu/page/stopping-clock-review-promotion-0
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Promising practices, guidance and support.
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Know the documents.

Compendium.docx document from the Office of Academic Affairs

(http://pondside.uchicago.edu/~feder/eforms.htm)

Includes instructions and examples for the candidate.

And

Is useful to look at the instructions to the department.

Will return to the compendium later.

This site also has exemplar materials From successful cases

Documents for use by candidates for faculty appointments, promotions, and tenure – and by those who develop departmental proposals for such actions.

2014-08-04

Suggestions for improving the following pages are welcome. Please email them to m-feder@uchicago.edu.

[AFTER DOWNLOADING THIS DOCUMENT TO YOUR DESKTOP]

MAC USERS: Clicking on the following entries will take you to the page with the indicated document.

PC USERS: Try the above. If it does not work, try Control-clicking instead.]

Letter of explanation from the Faculty Dean

<table>
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| BSD TRACK                                      |
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| Chair’s letter for associate professor without tenure [COAP] |
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| Solicitation letter for external assessors: associate professor without tenure [COAP]* |
| Enclosure to solicitation letter for external assessors [also online at: http://tiny.cc/4reviewersBSD, a PDF] |
| Solicitation letter for optional assessments by UChicago faculty [COAP] |

*On an exceptional basis, non-clinicians may be appointed in this track. Please consult with the Faculty Dean for advice on letter language.

*Departments are free to use language that will best induce letter writers to provide the assessments we need.
In addition to the Compendium, these are important documents from the Office of Academic Affairs:

*Pathways for successful faculty development and promotion.*
(http://pondside.uchicago.edu/~feder/pathways.htm)

*Appointments, reappointments, promotions and tenure process guidelines.*
(http://tiny.cc/BSDProcessGuidelines)

*Appointment and Promotion Criteria (The Shils Report).*
(https://facultyhandbook.uchicago.edu/page/academic-appointments)

*The University Statutes.*

Statute 11. Faculty and Other Academic Appointments
(http://secretary.uchicago.edu/)
Your submission for reappointment/promotion includes:

1. CV

2. Scholarly activity statement.
   a. Past and current (2 pages).
   b. Proposed and future (1 page).
   c. Exemplary peer reviewed publications. 5 max.

It may be useful to think about how these works demonstrate a cohesive and deep body of work.
Your submission for reappointment/promotion includes:

3. Education Statement (1 page). Don’t need to repeat what’s in the CV.

(a) Past and current:
Courses/classroom teaching.
Clinical teaching.
Educational administration.
Supervision of research trainees.
Production of educational materials.
Other

(b) Proposed and future:
Describe any contemplated changes.

Good to think about now – as have opportunities, consider how they fit into your career narrative.
Your submission for reappointment/promotion includes:

4. Clinical Statement (1 page). Don’t need to repeat what’s in the CV.

(a) Past and current:

Elaborated on activities related to clinical efforts.

To help you do this, you may wish to ask your department to provide applicable metrics of how clinically busy you are. If you have regular clinical activity and this is not already in the CV, describe its duration and frequency (e.g., clinics per week, their length, their frequency).

(b) Proposed and future:
Describe any contemplated changes.
Your submission for reappointment/promotion includes:

5. Citizenship Statement (1 page). Don’t need to repeat what’s in the CV.

(a) Past and current: 
Describe only activity concerning service on UChicago committees, boards, task forces, and searches, and any other forms of contribution to UChicago.

(b) Proposed and future: 
Describe any contemplated changes.

***Please do include (i) mentorship of other faculty, and (ii) contributions to diversity and inclusion. For the latter, in addition to typical activities do not overlook any education, scholarship, or patient care that considers or advances diversity and inclusion. If you’ve already mentioned these elsewhere, there is no reason to repeat.
Your submission for promotion includes:

6. Suggest Assessors

(a) Suggested assessors of scholarship.

You can suggest three and should. Preferably leading scholars at peer institutions. Good if they have some distance from you – people who know you well but who aren’t your former advisor or collaborators.

(b) Suggested assessors of clinical practice. (If applicable).

No limit, but the number is ordinarily less than 5. Faculty in Chicago Medicine who are not in same Section but are personally familiar with your clinical practice and/or clinical teaching, and could be contacted for an assessment.
Your submission for **reappointment** includes:

Career Development Plan

(a) Please describe the progress you have made and are making towards promotion, and the advice/mentorship you are receiving.

(b) On what basis and when do you expect to be promoted? What will you do differently during your next term as assistant professor, if anything, with respect to scholarship, grant support, education, patient care (if appropriate), and institutional citizenship? What assistance do you need from your colleagues for the successful culmination of your assistant professorship?

(c) Statement of progress toward research funding with information on recent submissions, reviews, etc. Specified in the document.
Promotion cases (not reappointments) go to the Provost with a letter from your chair.

By a vote of XX in favor, YY opposed, ZZ abstaining, and ZZ not returning a ballot, the Department of Deptname proposes appointment as [associate] professor with tenure effective as of MMMM DD, 20YY. Faculty eligible to vote were [name or describe]. Accompanying this proposal are the candidate’s curriculum vitae and pertinent statements or other materials, which provide the basis for the proposal as follows:

☐ Lay Summary [state the major research accomplishments and findings in language that an intelligent non-scientist could understand and appreciate, with a sentence each on education, institutional service, and clinical care delivery if any. This is at the Provost’s request.]

☐ What is the rationale for having the candidate's area of scholarship [as opposed to the candidate himself/herself] represented at UChicago? [This is for the Provost's benefit, not BSD's]

☐ Analysis of the candidate's past research program and findings: strengths, weaknesses, creativity, and impact, including the candidate’s success in extramural funding. [Discuss the work, not the candidate.] This should include for each exemplary work a paragraph summarizing the faculty discussion in which it has been assessed; this should be assessment and not re-summary of the work.*

☐ Analysis of the candidate's proposed/future research program: to what extent will it be sustainable both in the scientific sense (in terms of putting/keeping the candidate, your department, BSD and UChicago in the forefront) and the funding sense (if it requires funding)?
Promotion cases (not reappointments) go to the Provost with a letter from your chair. Continued…

☐ Comparative stature of the candidate [RESTATED].

☐ [NEW] Transformational contribution/potential. What has been and/or will be the transformational impact of the candidate on other faculty and research/educational programs at Uchicago.

☐ Analysis of the letter case (not all may be necessary/relevant).

☐ Analysis of the significance and quality of
  The educational contribution
  The clinical contribution (if any)
  Institutional citizenship. If there have been contributions to (i) mentorship of other faculty, and (ii) diversity and inclusion, please discuss them.

Letters are usually around 3-4 pages.
Accumulated advice on promising practices

**Reality Check** - How do you compare to successful same-stage colleagues at peer institutions? Also review posted examples of successful case materials online that can give you a sense of what has worked.

**Meet people in your field** - panels, seminars etc. This is not only good for scholarship but for communicating your expertise and priorities and becoming better known. Need to do these things well, make a good impression.

**Get help** - We all have our strengths and weaknesses but it is hard to recognize them in ourselves. Mentorship and help with grant proposals, writing, methods in lab and others issues can make a huge difference. Honestly, most of our first drafts are rough.
Think about the big picture - time management is critical. Think carefully about how your work time is serving your priorities.

Establish your identity and questions - collaboration can be great but your particular intellectual ownership of ideas and projects is important to establish.

Beware of burnout, there are benefits to balance.

Know the rules - department/divisional/university rules and process and be proactive in mentoring process, document meetings.
Office of Faculty Affairs – How can we help?

[Link to website](https://bsdfacultyaffairs.uchicago.edu).
Website has programming, resources and links to other sites. Also look for emails on upcoming events and activities (sent out once per month).

Feel free to email Melina for additional information/conversation: [mhale@uchicago.edu](mailto:mhale@uchicago.edu).

Martin Feder, Dean for Academic Affairs is also happy to talk with you. [m-feder@uchicago.edu](mailto:m-feder@uchicago.edu). And a beautiful new Academic Affairs website will be launching soon. Information and other resources are currently available through links through talk.