DATE: April 2018

TO: • Department Chairs, School of Medicine
• Department Administrators

FROM: Donna Patterson, Administrative Program Coordinator
Office of Senior Appointments and Promotions (SAPC)

Jacqueline S. “Kiki” Nissen, M.D., Senior Associate Dean for Faculty Affairs,
Associate Dean for Graduate Medical Education

SUBJECT: Nomination Instructions for Submitting Material for Appointment,
Promotion, and Award of Tenure for Paid and Affiliated Faculty
(These instructions supersede any prior instructions)

PLEASE READ CAREFULLY –INSTRUCTIONS HAVE CHANGED

Application for promotion or for initial appointment at senior rank (Associate or full Professor) is an important and labor intensive process. Application for initial appointment at senior rank can be made any time during the year, but should normally be done within the first two months of employment.

All applications for promotion must be submitted by Friday, August 3, 2018. All promotions and appointments are guided by the Bylaws of the University and School of Medicine. Final approval of any promotion, awarding of tenure, or appointment requires the approval of the Academic Affairs Subcommittee of the Board of Directors. The process can take over a year for promotions and 4-9 months for initial appointments.

Following the attached instructions will assure a timely progression of the nomination process. Particular attention should be paid to the REQUIRED DOCUMENTATION, CHECKLIST and CHAIRPERSON’S NOMINATION FORM. Kindly share these instructions with Department personnel who will be responsible for compiling and delivering the required material to the Committee. Questions may be directed to Donna Patterson (x2617).

These instructions and all forms and templates can be found on the Faculty Affairs website at the following links: Candidate Instructions, Forms, and Templates and Department Chair Instructions, Forms and Templates.

Change in the professional category requires approval from the Dean or Dean Designee of the School of Medicine, currently the Senior Associate Dean for Faculty Affairs. Upon approval, a nominee must wait two years before being considered for promotion or tenure.
DEADLINE FOR NOMINATIONS FOR PROMOTION AND TENURE: Friday, Friday, August 3, 2018

Complete nomination materials must be delivered to the Office of Senior Appointments and Promotions (AM047H) no later than Friday, August 3, 2018 at 3:00 pm. Exceptions may be granted by Kiki Nissen, M.D., Senior Associate Dean for Faculty Affairs, but only for extraordinary circumstances (i.e. illness, death in the family).

Complete materials include one (1) collated packet of items 1-5 (see below) and a flash drive with ALL materials (1-8).

Flash Drive: Please put each item (1-8) into a separate PDF file that is clearly and appropriately labeled with the name of the document contained in each file (example: Nomination Form, Nomination Letter, CV, etc.).

Incorrectly formatted flash drives will be returned for correction.

INCOMPLETE OR UNCOLLATED PACKETS WILL NOT BE ACCEPTED

DEADLINE FOR APPOINTMENTS: Applications for original appointments are handled on a rolling basis, but persons newly hired by the School of Medicine with the expectation of a senior level appointment should submit the materials as soon as the hire letter is signed. Those who have been granted a Visiting title at senior rank should generally submit complete materials within two months of the start date.

WE WOULD BE GRATEFUL TO RECEIVE MATERIALS PRINTED ON 2 SIDES IF POSSIBLE

REQUIRED DOCUMENTATION

It is the responsibility of the sponsoring School of Medicine Department to obtain and submit all necessary materials. While this work may be shared with Departments at Affiliated Hospitals, the responsible Department is the School of Medicine Department.

1. COMPLETED CHAIRPERSON’S NOMINATION FORM

2. NOMINATION LETTER (see TEMPLATES for each Professional Category) FROM THE SCHOOL OF MEDICINE SPONSORING DEPARTMENT CHAIR (Center Directors or Affiliated Institution Site Chairs may participate in writing the nomination letter but the School of Medicine Department is the responsible party).

The Chairperson’s letter must summarize the evidence supporting the nomination for senior rank/tenure. Detailed, evidence-based information is required for each criterion as listed in the School of Medicine Bylaws. The letter should include specific information about service development, service size, growth, the number of individuals served and the educational or research components of the service and objective evidence of improvement for the leg chosen. For other criteria, supportive information would include documentation of curriculum development, use and objective data about the impact of the curriculum. Examples could include performance on exams over multiple cohorts, dissemination via peer reviewed presentations or publications, or adoption of the curriculum by others.

Clinical competence is an important component of the criteria for promotion for clinicians. If the nominee is a clinician, comment upon his/her clinical competence, including specific examples of the nominee's expertise and effectiveness in delivering high quality clinical services. Describe any
patterns of adverse events, patient complaints, difficulty working with colleagues, students or staff, and malpractice-related issues in addition to the nominee’s expertise in his/her area. Please be specific.

*Teaching excellence* is an important component of the criteria for promotion in each professional category and every track. Comment upon the nominee’s teaching, teaching evaluations, and describe any patterns of student complaints, or difficulty collaborating in teaching with colleagues or staff. In 2009, the Education Council passed a policy giving the Department Chair the right to access all teaching evaluations.

Local and regional recognition is most consistent with appointment or promotion to the rank of Associate Professor, whereas significant institutional influence, regional, and national recognition is most consistent with appointment or promotion to the rank of Professor.

For **New Appointments** also include a copy of the original hire letter and subsequent communications that change the work expectations delineated in the hire letter.

NOTE: In instances where a faculty member is being considered for promotion or tenure without the support of the Department Chair (i.e. the nominee has appealed and won the right to be considered without the Department’s support) the Department Chair must submit a letter explaining why he or she does not support the nomination.

3. **CURRICULUM VITA** *(see TEMPLATE)*

- The CV must be complete, up-to-date, accurate, page numbered, and **signed and dated by the nominee**.

- The CV must include the following components, in the following order:

  a) **Name**

  b) **Department of Primary Appointment**

  c) **Academic Appointments, including Joint Appointments at UConn Health**. Start with present rank and work backward, and include start and end dates (month and year).

  d) **Professional Experience prior to appointment at UConn Health** (you may limit this to a period of ten years).

  e) **Educational background**: Include degree, field, institution and date degree was awarded. For post-doctoral training, include the type of training (e.g. residency, fellowship, post-doc), field, institution and dates (month and year).

  f) **Print and Oral Scholarship (please number each item)**: All items should be in reverse chronological order (beginning with the most recent) and include the full citation. For each entry include (a) complete list of the authors’ names in the order listed in the final manuscript or presentation; (b) the complete citation with date, volume, and inclusive pages; and (c) an asterisk (*) by the nominee’s name for each citation where (s)he is the corresponding author (i.e. the person most responsible for the contents of the manuscript) as listed in the journal. **The absence**
of an asterisk indicates to the SAPC that the nominee is not the corresponding author. If a trainee or student was a corresponding author provide a narrative statement for each publication documenting your role.

In addition, if you are being nominated as a collaborative investigator you are strongly urged to annotate each entry to indicate the unique contribution you have made to the project being reported.

The CV should be reviewed carefully. Corresponding author assertions will be vetted independently. Factual errors may be regarded as evidence of a lack of integrity and may result in a negative recommendation. In addition, publications in non-peer reviewed open access or non-peer reviewed online only journals, or media, or “predatory” journals are weighed accordingly and in general do not provide adequate evidence of scholarship.

1. Publications (in the following order) - DO NOT list manuscripts “submitted or in preparation.” Only include work that has been published or is accepted for publication (documentation from the publisher must be included)
   1a. Peer reviewed journal articles
   1b. Book chapters
   1c. Books
   1d. Other (e.g. letters to the editor)

2. Oral presentations - in each instance be specific about where the presentation was made, to whom, and the dates
   a. Peer reviewed submissions
   b. Invited presentations
      i. At professional conferences
      ii. At another college or university or scholarly institution
      iii. Other
   c. Poster presentations- in each instance be specific about where the presentation was made, to whom, and the dates
      i. Peer reviewed
      ii. Invited

g) Grants: For each grant obtained since your last promotion, list the following information: Grant name; your role; if the grant is current, pending or completed; direct costs by year. If the grant is a program project or center component, list your project direct costs only. All grants need to be accompanied by a letter of award/face sheet and the budget sheet listing personnel and their roles.

h) List any other factual information you wish the SAPC to consider regarding your academic accomplishments, including being a study section reviewer, being a journal editor, or serving on an editorial board, serving on an invited national panel, elected office in professional organizations, organizing a conference, national symposium or course.
4. PERSONAL STATEMENT (see TEMPLATE)

The nominee must submit a statement describing his/her activities and professional development. The statement should be organized related to each relevant criterion in the designated professional category. Keep in mind the SAPC is an interdisciplinary group. Write the statement for a mixed audience of clinicians and scientists.

5. FORMS FOR COMPLETION BY NOMINEE AND APPROPRIATE SIGNATURES

(a) Summary of Teaching Responsibilities for the period under review, indicating:
   - Evidence of teaching quantity (in terms of courses taught, residents trained, etc.).
   - Name of course director (if appropriate).

(b) Summary of Clinical Responsibilities. If the nominee is not a clinician, this form should be included with a statement to that effect.

6. LIST OF REFERENCES for contact by the SAPC (please label each list with nominee’s name)

The nomination package requires a total of 18-24 peer and student references from the nominee.

- Six (6) to eight (8) outside authorities, including complete mailing and e-mail addresses. In general, these individuals should be at least at the rank requested or above.

- Four (4) internal1 references, including complete mailing and e-mail addresses. In general, these individuals should be at least at the rank requested.

- Eight (8) to twelve (12) medical or graduate students, residents, fellows or post-docs, current or former, who can comment on the nominee’s characteristics as an educator. Including complete mailing and e-mail addresses.

Referees will be sent the following information: A cover letter from the SAPC asking for a review; a list of the criteria for the professional category selected; the CV; the candidate’s personal statement; manuscripts submitted; teaching and clinical activity forms; and a copy of the curriculum under review if the nomination is based on curriculum development and any objective evidence provided.

For New Appointments: Six (6) to eight (8) references outside and four (4) references inside the institution from which the nominee is coming, plus eight (8) to twelve (12) names of students/residents. Letters submitted during the nominee’s recruitment may be used as reference letters; however, these will only be useful if they support the specific criteria in the category in which the nominee is being considered.

Referees who will speak to the scientific work and teaching of the nominee (versus the clinical expertise) in general should be at least of the same rank being sought by the nominee. Most commonly your referees will know your work at your prior institution.

NOTE: IN ALL CASES, ADDITIONAL REVIEWERS WILL BE IDENTIFIED BY THE SAPC.

---

1 “Internal” refers to faculty and trainees of UConn, even if located at an affiliated hospital or another campus of the University.
7. **REQUIRED ADDITIONAL INFORMATION**

- All nominees are **required** to submit documentation of publications listed in the CV. The first page of the publication must be copied and included in the package. For nominees for Associate Professor, this must be done for every publication since appointment as Assistant Professor. For nominees for Professor, it must be done for every publication since promotion to Associate Professor. For nominees being considered for tenure after achieving the rank of Associate Professor, it should be done for all publications during the probationary period. Exception: If the nomination is for appointment at a rank already held at another university, this should be done for the past 5 years only.

- Copies of acceptance letters/emails for accepted and “in-press” publications.

- Copies of award notices and lists of key personnel for all grants awarded since last promotion.

- Provide documentation of any other awards or academic accomplishments mentioned in the nomination material that you wish the SAPC to consider regarding your nomination.

8. **MANUSCRIPT REQUIREMENTS**

Electronic copies of a **minimum** of four (4) and a **maximum** of (6) of the nominee's most significant manuscripts. Journal articles are most important to the Committee, book chapters less so. Manuscripts “in press” **MUST** be accompanied by the editorial acceptance letter. Journal articles should be submitted electronically. Books, if submitted, will be returned.

**AWARD OF ACADEMIC TENURE (Recommendations regarding the award of tenure are done separately from decisions about promotion):**

- Documentation requirements are the same as for appointment or promotion to senior rank (see #1-8). **Exception**: If the nominee has been reviewed (appointed or promoted) by the SAPC within the preceding twelve (12) months, only the nominee's subsequent activities need to be documented.

- The Committee requires the full names, and complete mailing and e-mail addresses of references who can speak directly to the question of tenure. These references in general must be at least of the same rank being sought by the nominee.

- The sponsoring Department Chair's letter should:
  - emphasize the nominee’s contributions to the School of Medicine to justify award of tenure, and
  - specify the nominee's continuing contributions in research, teaching, and areas of professional activities since any previous SAPC review of the nominee.

**CHECKLIST**

- Please use the Checklist for your guidance in assembling packets.

- Should required materials be missing from the packets, the nominating Chair’s office will be contacted. Packets that are not completely submitted by the due date will not be considered.

- Consideration of a nomination may be deferred at any time for lack of sufficient data.
Nominees should feel free to provide the SAPC with any updates to their nomination packet (grants that have been awarded, papers accepted for publication, etc.) at any point during the nomination process.

CONFIDENTIALITY

The following represents a policy decision approved by the Dean's Advisory Committee regarding the confidentiality of SAPC files: "While we will make every effort to keep your reply confidential, the Connecticut Personal Data Act requires release of documents received as part of promotion and tenure reviews should a specific request be made by the nominee."

Student evaluations of nominees for appointment, promotion and/or tenure are submitted anonymously and will remain anonymous.