



DATE: March 2021

TO:

- Department Chairs, School of Medicine
- Department Administrators, School Medicine

FROM: Donna L. Patterson, Program Manager – Faculty Development
Office of Faculty Affairs – Senior Appointments and Promotions Committee (SAPC)

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

SUBJECT: **Nomination Instructions for Appointment, Promotion, and Award of Tenure for Paid and Affiliated Faculty (see separate Nomination Instructions for Promotion of Community 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 a first time faculty appointment at senior rank can be made at any time during the year.

All applications for promotion must be submitted by **Friday, August 6, 2021**. All promotions and appointments are guided by the Bylaws of the University and the 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 up to 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 faculty/personnel who will be responsible for compiling and delivering the required material to the Faculty Affairs Office. 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](#). The links throughout this document will take you to the appropriate 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, August 6, 2021

Complete nomination materials must be delivered to the Office of Faculty Affairs (AM047H) **no later than Friday, August 6, 2021, at 3:00 pm.**

These materials include one (1) collated paper copy* of required materials 1-5 (see below) and a flash drive** with **ALL** required materials (1-8).

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

****Required materials (1-8) should be submitted on a flash drive containing separate PDF files that are clearly and appropriately labeled with the name of the document contained in each file (example: Nomination Form, Nomination Letter, CV, etc.).**

DEADLINE FOR APPOINTMENTS

Applications for original appointments are handled on a rolling basis. Persons newly hired by the School of Medicine with the expectation of a senior level appointment must submit complete materials to the SAPC either prior to, or within 60 days of the nominee's employment start date. Alternatively, incoming faculty may be granted a "Visiting" title, providing they are of senior rank at their current institution and must submit complete materials either prior to or within 60 days of the start date (see [Visiting Professor Title – Process](#)).

1. COMPLETED CHAIRPERSON'S NOMINATION FORM (see [TEMPLATE](#)).

2. DEPARTMENT CHAIR NOMINATION LETTER FROM THE SCHOOL OF MEDICINE SPONSORING DEPARTMENT CHAIR (see [TEMPLATES](#) for each Professional Category) (center directors or affiliated institution site chairs may participate in writing the nomination letter with signatures of both responsible parties (the department chair's signature implies that (s)he agrees with the content if the letter is authored by another party).

- The chairperson's nomination letter must summarize the evidence supporting the nomination for senior rank/tenure and should be organized according to the criteria for the professional category (and leg) on which the faculty member is being nominated.
- Detailed, evidence-based information is required for each criterion as listed in the School of Medicine Bylaws ([see Appendix B](#)).
- 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 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 appointment or 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 appointment or 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 and the SAPC has access to all student evaluations. This would be an opportunity to address any professionalism concerns raised by students.

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 (s)he does not support the nomination. A consultation with the Office of Faculty Affairs will be helpful in these unique circumstances.

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 will be reviewed for accuracy and 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 10 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 or non-peer reviewed online only journals, or media, will be weighed accordingly. Publication in possible "predatory" journals and/or participation in possible "predatory" editorial boards and/or conferences are not evidence of scholarship and should not be included.** CVs that are incorrectly formatted or containing errors will be returned for correction.

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), preprints posted on public preprint servers such as BioRxiv)

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 personal statement should be organized around each criterion in the nominee's designated professional category and leg (see [Companion Document](#) and [Appendix B](#) for requirements of each professional category). Within the personal statement, the **nominee must** provide a summary of her/his academic activities and professional development, along with *objective evidence* supporting the personal statement narrative. One effective approach is to use appendices for providing objective evidence, which is cited in the personal statement. Keep in mind the SAPC is an interdisciplinary group. Write the statement for a mixed audience of clinicians and basic scientists.

5. FORMS FOR COMPLETION BY NOMINEE AND APPROPRIATE SIGNATURES

- (a) Summary of Teaching Responsibilities (see [TEMPLATE](#)) *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 (see [TEMPLATE](#)). *If the nominee is not a clinician, this form must 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.

The SAPC will invite those you name to write letters regarding your contributions to the School of Medicine. The SAPC will also contact faculty and trainees you have not named. Please provide the following:

- 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) **internal**¹ 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. *Include complete mailing and e-mail addresses.*

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

¹ "Internal" refers to faculty and trainees of UConn, even if located at an affiliated hospital or another campus of the University.

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

It is customary for nominees to contact their references in advance, letting them know the SAPC will be requesting letters of evaluation. Department chairs should help their faculty to understand their responsibility in this domain.

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 five (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.
- 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***. Books, if submitted, will be returned.

AWARD OF ACADEMIC TENURE (recommendations for the award of tenure are done separately from recommendations for 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

REQUIRED DOCUMENTS

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.

THE FOLLOWING WILL ASSIST YOU IN ASSEMBLING YOUR MATERIALS **(the checklist does not need to be included with your submission)**

CHECKLIST (see [TEMPLATE](#))

- Use the Checklist for your guidance in assembling packets.

IMPORTANT

- Should required materials be missing, incorrectly formatted or contain errors the nominating chair's office will be contacted. Processing by the SAPC will be delayed until corrections are made.
- 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.