

STANDARDS OF PERFORMANCE

Guidelines for Tenure and Promotion

College of Osteopathic Medicine

The standards for tenure and promotion in the College of Osteopathic Medicine (COM) at Sam Houston State University (SHSU) reflect a commitment to support faculty as teacher-scholars throughout their careers in an environment of academic excellence. For tenure and/or promotion to be awarded, the candidate must have demonstrated a commitment to academic excellence as a teacher-scholar. This policy sets forth the standards for tenure and promotion. This document elaborates on SHSU Academic Policy Statements related to faculty evaluation (i.e., APS 820317, APS 900417, and APS 980204²) and the rules and regulations set forth by The Texas State University System (TSUS). The objective of this document is to establish a framework for continuity and consistency for faculty performance. This document will be reviewed every three years.

The document presents specific categories and standards of performance for all aspects of faculty evaluation, including the following nine (9) categories. To review the most recently approved versions of these policies, faculty should refer to SHSU's Academic Affairs Policies & Procedures webpage: <https://www.shsu.edu/dept/academic-affairs/policies.html>

1. Faculty Evaluation System (Chair annual evaluation, APS 820317);
2. Annual evaluation of probationary faculty by the Department Promotion and Tenure Advisory Committee (DPTAC; APS 900417);
3. A third-year extensive review of probationary faculty by the DPTAC (APS 900417);
4. Dossier for promotion and tenure to the rank of Associate Professor (APS 900417);
5. Dossier for tenure at the rank of Associate Professor (APS 900417);
6. Dossier for promotion and tenure to the rank of Professor (APS 900417);
7. Dossier for promotion to the rank of Professor (APS 900417);
8. Dossier for promotion for periodic post-tenure evaluation at the level of Associate Professor (APS 980204³); and
9. Dossier for promotion for periodic post-tenure evaluation at the level of Professor (APS 980204³).

Because the same general categories and standards of performance are used for all types of faculty evaluation (e.g. Departmental annual evaluation, Annual probationary assessment by DPTAC, Three-year DPTAC evaluation, and Dossier submitted for P&T assessment), the remainder of the document provides an overview of these expectations.

The tenuring unit is the College of Osteopathic Medicine and by nature includes probationary and tenured faculty who specialize in a wide range of academic disciplines. As such, the COM recognizes the necessity of maintaining flexible and inclusive guidelines for all aspects of faculty evaluation. The COM promotes excellence in teaching, research, service, and an environment conducive to academic

excellence). Therefore, meeting all required elements of faculty is expected to be considered for tenure and/or promotion.

Categories of performance: (APS 90041⁵): general categories of performance for tenured and tenure-track faculty⁶

1. **Teaching.** In addition to session and laboratory instruction in all modalities as assigned, the teaching category includes course directorship, andragogy-related activities such as curriculum development, academic advising, student mentorship, and other related endeavors that broadly constitute student learning support and/or program support. The impact of teaching will be determined according to the academic rank specified under each rank category.
2. **Research.** This category comprises a range of outputs appropriate to research development. Acceptable accomplishments are varied and include generation and dissemination of novel research (e.g., peer-reviewed publications), collaborative research (e.g., with community, faculty, students, etc...); acquisition of financial support (grant funding); acquisition of intellectual property; and other forms of research as appropriate to the individual rank and the specific departmental goals.
3. **Service**⁷. The service category includes committee work and other activities that serve the department, college, university, profession, and community, and that are related to faculty appointment(s).

Candidates who have completed the third-year review before Spring 2023 will be evaluated under APS 900417 (November 2013). Candidates completing third-year reviews after Spring 2023 will be evaluated under APS 900417 (May 2022) and the herein-approved standards.

Standards for each of the nine categories are outlined below. The standards represent a guide for faculty to identify overall expectations and are not designed to become check boxes for all corresponding items. Each category standard considers full-time allocation (FTE) to individual faculty and the academic diversity offered by each member.

Assistant Professor to Associate Professor

Assistant Professors will be promoted to the rank of Associate Professor concurrent with the granting of tenure. Assistant Professors may not be awarded tenure without also being awarded promotion. Teaching, research, and service activities in the previous five years prior to submitting for promotion and tenure will be considered by SHSU-COM and the DPTAC.

Associate Professor to Full Professor

Faculty at the level of Associate Professor can apply for tenure separate from promotion. The expectations for the rank of Professor are the creation of new courses; revamping of existing courses; overseeing junior faculty member's teaching and course directing duties; promoting novelty and ongoing quality improvement in teaching; receiving academic recognition at the national and/or international level for innovative contributions to teaching; and mentoring junior faculty and/or students in the pursuit of excellence in teaching. For Professor rank, there is not a minimum expected number of publications; however, peer-reviewed publications and/or extramural funding does provide objective evidence of one being a leader in the field. Faculty can submit for tenure without promotion at the Associate Professor level.

Criteria for Granting Tenure for Associate Professors Hired Without Tenure:

The granting of tenure for Associate Professor requires sustained excellence in the domains of teaching, research, and service. At the discretion of SHSU, prior service in a tenure-track/tenured position of up to three (3) years at another university may be counted toward fulfillment of the required probationary period for tenure and promotion. Prior service credit shall be applied to the beginning of the probationary period (years 1-3). Generally, any such agreement appears in the offer letter and initial contract of the faculty member at the discretion of the dean and Provost.

On rare occasions, truly outstanding faculty may be considered prior to this time. Early consideration of promotion requires the approval of the appropriate chair/director and dean prior to the second Monday of October in the academic year in which promotion is to be considered. Special permission by the chair/director and/or dean does not imply a subsequent favorable recommendation.

Suspension of the Probationary Period

Personal circumstances may justify the suspension of the tenure clock. It is the responsibility of the faculty member to provide appropriate documentation to demonstrate sufficiently why the request should be granted.

The department chair shall provide a recommendation concerning the request for a suspension of the tenure clock to the dean within ten (10) working days from receipt of the request.

The dean shall provide a recommendation concerning the request for a suspension of the tenure clock to the Provost within ten (10) working days from receipt of the department chair's recommendation.

The decision regarding the request for a suspension of the tenure clock shall be made by the Provost within ten (10) working days from the date of receipt of the dean's recommendation.

Tenured track clinical faculty

Clinical efforts are a valued part of teaching, research and service. Although this is not recognized as an independent category for tenured track faculty, these efforts should be detailed in the appropriate qualitative and narrative category.

TEACHING

Quality teaching, with diversity in styles, methods, and settings is foundational to instructor independence and student learning. Impact and quality are important components of teaching. The evaluation of teaching should be holistic, drawing from both quantitative and qualitative evidence that demonstrates a sustained pattern of innovation, reflection, and performance. The contribution of teaching considered for Promotion and Tenure is to be commensurate with the faculty's academic rank and assigned FTE. Additionally, collegiality is part of teaching. Primary evidence of collegiality will be considered as adherence to departmental, college, and university policies and decisions; furthering the department goals; mentoring junior faculty; working within the existing administrative structures of the department, college, and university; dutiful fulfillment of committee

responsibilities; promoting harmony and the general welfare of the department, college, and university; and support and assistance of other faculty members

The content and expectations for Teaching are described below:

Faculty candidates will maintain a teaching portfolio which includes but need not be limited to:

Teaching narrative

- Define the origin of your teaching philosophy
 - Correlate your passion with your unique perspective on teaching
- Demonstrate the ways in which your philosophy has been made manifest in your teaching
 - Specific examples of one's teaching practices
- Create a teaching improvement plan for self-evaluation, quantification, and growth
 - To be discussed with the department chair during the annual review.
 - Aggregate the previous years' performance evaluations from the students, Chair, educational affairs, and course directors and describe areas in teaching delivery to improve and innovate.
- Report evidence of the implementation of the teaching improvement plan from the previous year
- Quantify the previous year's contribution
 - Number of sessions delivered by instruction type
 - Number of sessions delivered in your primary discipline
 - Number of sessions outside of your primary discipline
 - New sessions and/or courses created
 - Courses directed
- Report student, chair, and course director evaluations, including numerical scores and constructive comments
- Evidence of commitment to optimal teaching effectiveness:
 - Participation in course development or revisions
 - Demonstrate contributions to blueprinting and mapping
 - Review, improvement (higher order), add new objectives to the core curriculum
 - Accurate representation of each session using the session planning forms
 - Inclusion of innovative use of technologies or teaching strategies
 - Participation in workshops or other professional development intended to enhance teaching
 - Andragogical publications and/or presentations that demonstrate and provide evidence of teaching effectiveness.
 - Impact of student mentoring
 - Performance in your discipline
 - Change in overall performance
 - Leadership roles obtained

Expectations by Rank

All ranks demonstrate:

- Effectiveness in planning and development of teaching materials and activities
- Effectiveness in delivery of teaching materials and activities
- Effectiveness in evaluating student learning outcomes
- Professional development and collaboration related to teaching activities and skills
- Adhering to university/college/department policies, and procedures regarding teaching activities

The percent effort dedicated to teaching is unique to each faculty member and is an agreement to be documented at the annual faculty review with the department chair. The FTE (Full Time Equivalent) calculator, a dynamic model, is designed to provide a quantifiable structure to teaching efforts; however, innovation and impact should be described separately in the teaching narrative.

Expectation of an Assistant Professor seeking promotion to an Associate Professor

The standard for an Assistant Professor is to be competent in all the duties of the teaching domain. To be promoted to the level of an Associate Professor, one must demonstrate competency in creating new sessions, directing course initiatives, and implementing individual and innovative teaching styles.

- Developing teaching materials that are appropriate and relevant to the subject matter and learning objectives of the class or clinical teaching sessions
 - Faculty are expected to lead a minimum number of didactic sessions each year. This number is determined by the median number of sessions delivered by tenured-track faculty at rank of Assistant Professor minus one standard deviation. These numbers will be determined from the previous year and incorporated into the expectations at the faculty annual review.
- Committing and contributing to course and/or program assessments during planning and course execution
- Maintaining reasonable availability for student conferences and counseling including during appropriate and posted office hours
- Addressing areas of improvement from reviews or evaluations of teaching from students, supervisors, educational affairs, and course directors that align with your teaching philosophy.
- Developing and implementing a teaching improvement plan from year to year
- Engaging in professional development aimed at improving teaching effectiveness

Expectation of an Associate Professor working to Full Professor

Faculty at the rank of Associate are expected to demonstrate advanced competence in the domain of teaching. It is expected that an Assistant Professor seeking promotion to associate will have fulfilled most of the following.

- Successfully directing a course based on the COM's course Director Guidelines
- Developing and implementing novel teaching strategies to deliver teaching materials, and methods or plans for assessment of teaching and learning
- Developing additional course experiences for students such as class or course material reviews, Q & A sessions, tutorials, or study groups

- Developing new session(s)
- Addressing areas of improvement from reviews or evaluations of teaching from students, supervisors, educational affairs, and course directors that align with your teaching philosophy.
- Coaching or mentoring students for academic success
- Recognition by students or peers for excellence in teaching

Expectation of a Full Professor

Faculty at the rank of Associate Professor applying for promotion to Full Professor must meet the expectations of Full Professor Post Tenure Review. In addition to the criteria for Assistant to Full Professor listed above, the Full Professor is expected to carry out the following after promotion.

- Leadership in course/program development and assessment in and outside of the college
- Leadership in curriculum development, review, and revision
- Leadership in professional development aimed at improving teaching effectiveness of others
- Expert teaching as evidenced by student or peer evaluations
- Exemplary mentorship to peer faculty, students, or trainees
- Contributing to educational research and scholarship with peer-reviewed publication

In the case of teaching scores one standard deviation below the departmental or college average, the candidate should address these occurrences in the narrative, taking care to note problems, actions to rectify them and extenuating circumstances that may have led to lower than expected scores. In the case of higher scores, the candidate should likewise identify strengths to retain, successful teaching strategies, training that contributed to success, and fortuitous circumstances.

The probationary period as an Assistant Professor allows faculty time to develop as teachers. Accordingly, student, Chair, Educational Affairs, and Course Director evaluation scores/ratings are expected to show growth or maintenance as appropriate over time. While global ratings from these evaluation instruments provide a good overview of teaching effectiveness, the DPTAC members, department chair, and Dean should consider other data included in the evaluation system. In addition, information about session characteristics (collaborative/team taught), number of independent sessions delivered, contributions to course content should be considered when reviewing evaluation results.

While student evaluations are a valuable source of information, scores should be interpreted in the context of other materials documenting andragogical achievement. The department chair, through annual evaluation of the candidate during the probationary period, will address additional evidence of teaching effectiveness. A candidate may also wish to elicit written evaluations from peers. A candidate will have the right to nominate to the chair the individual(s) providing the evaluation. The Chair has the final decision to accept the faculty's peer nomination. Peer evaluations not approved by the Chair are void from consideration.

Research

The COM faculty with tenure track appointments are expected to conduct research activities that lead to new knowledge. The impact of the research considered for promotion and tenure is to be collaborative,

innovative, and commensurate with the faculty's academic rank. The contribution of research considered for Promotion and Tenure is to be commensurate with the faculty's academic rank and assigned FTE. Additionally, collegiality is part of research. Primary evidence of collegiality will be considered as adherence to departmental, college, and university policies and decisions; furthering the department goals; mentoring junior faculty; working within the existing administrative structures of the department, college, and university; dutiful fulfillment of committee responsibilities; promoting harmony and the general welfare of the department, college, and university; and support and assistance of other faculty members.

The content and expectations for Research are described below:

Faculty candidates will maintain a research portfolio which includes but need not be limited to:

Research Narrative

- Define the philosophical foundations that are core to your individual research
 - Describe areas of interest
 - Methodology
 - Theory development, empirical work, or innovation, basic science, clinical practice, medical education, or policy, synthesis of prior data or generation of de novo ideas
- Describe the ways in which your philosophy has been manifested in your research
 - Publications
 - Posters
 - Manuscripts
 - Book Chapters
 - Grants
 - Podium presentations
 - Invited presentations
 - Intellectual Property
- Articulated focus of inquiry and scope of your research program. Details of the research program (commensurate with the academic rank).
- Includes examples of the impact in the field (senior investigator) or the forecast and steps taken to fill current gaps in the field (junior investigator).
 - Quantify the Impact of Research
 - Number of Publications
 - Number of grants submitted
 - Number of grants awarded
 - Number of publications submitted
 - Impact indicators
 - Advancement of Knowledge
 - Clinical Implementation
 - Community Benefit
 - Legislation and Policy
 - Economic Benefit
 - Reviewer (grant, manuscript, conference)

- Programming Committee
- Evidence of Impact:
 - Intellectual contribution to your field of study
 - Contribution is going to be dependent on rank
 - **Assistant**: Identifying your area of expertise
 - **Associate**: Consolidating a research niche
 - **Professor**: Recognition as an expert in your field of study
 - Inclusion of innovative techniques
 - Faculty mentoring
 - How successful your mentees are in acquiring grants
 - Number of peer-reviewed publications
 - Peer recognition
 - Student mentoring and research outcomes
 - Number of student publications and presentations
 - Residency of choice

Expectations by Rank

All Ranks Demonstrate:

- Engagement in collaborative research
- Student mentoring (e.g., submitted publications or grant applications)
- Publish original research, literature reviews (including systematic reviews with/without meta-analysis), and quality improvement projects
- Present original research to state, regional, or national events
- Publication of original monographs or an authored or edited book, book chapter

The percent effort dedicated to research is unique to each faculty member and is an agreement to be documented at the annual faculty review with the department chair. The FTE calculator, a dynamic model, is designed to provide a quantifiable structure to research efforts; however, innovation and impact are difficult to quantify and should be described in the research narrative.

Expectation of an Assistant Professor seeking promotion to an Associate Professor

The expectation for an Assistant Professor is to establish an area of expertise. Publications should appear in indexed-peer-reviewed journals. Should a faculty member publish his or her work in a journal that does not have an impact factor, has a 100% percent acceptance rate, or is not sponsored by an acknowledged society, the faculty member is expected to clearly articulate in the research narrative, why the journal was selected and the impact on their field.

- A record of active publication in the five years before applying for promotion and/or tenure.
 - The expectation is five publishable units over a five-year period. A publishable unit counts the publication multiplied by a quality factor (see formula below).
- Expectation that the faculty are first or last author in a minimum of one of the five publishable units.
- Opinion pieces, or non-peer reviewed, publications (e.g., newspaper column) will not count as publications but will be seen as promoting the COM and will be considered for promotion and/or tenure.

- Consistent mentoring of student driven research is expected.
- Faculty must demonstrate consistent research activities.

Publication Unit:

Manuscript published in a Peer Reviewed Journal

Publishable Unit:

Fourth quartile	0.75
Third quartile	1.0
Second quartile	1.5
First quartile	2.0

Quartiles are established using the “Journal of Citation Reports” ([Journal Citation Reports - Journals \(shsu.edu\)](http://shsu.edu)) which uses the Web of Science article and citation data (impact factor and related metrics) to categorize journals by category. This tool provides a ranking of journals by number of citations as the journal content applies to a field of study. If an article is published in a journal that is not supported by the Web of Science, then SciMago Journal rank can be used. If additional assistance is needed to describe the impact of a publication, the faculty member can consult with the Librarian.

Expectation of an Associate Professor working to Professor

Faculty at the rank of Associate Professor are expected to demonstrate advanced competence with areas of excellence in the domain of research. It is expected that an Assistant Professor seeking promotion to Associate Professor will have completed most if not all of the following:

- Progress toward sustainable (financially sustainable) scholarly activities
- Collaboration with students on submitted publications or grant applications
- Service as grant or journal reviewer
- Participation in faculty development including the development of activities for others
- Recognized expert in faculty’s field of study
- Peer mentorship with demonstratable outcomes
 - Grants/publications of mentored faculty/students

The expectation for the Associate Professor and Professor is to demonstrate impact. This is not measured by one number or source but as the culmination of multiple resources. To best measure impact faculty will consult with the librarian to frame the cumulative impact of their work using the [Becker Medical Library Model for Assessment of Research Impact](#). This model accounts for Advancement of Knowledge, Clinical Implementation, Community Benefit, Legislation and Policy, and Economic Benefit in determining overall impact.

Expectation of a Full Professor

Faculty at the rank of Associate Professor applying for promotion to Full Professor must meet the expectations of Full Professor Post Tenure Review. In addition to the criteria for Assistant to Full Professor listed above, the Full Professor is expected to carry out the following after promotion.

- Leadership in research program development in and outside of the college

- Extramural funding
- Leadership in professional organizations
- Exemplary mentorship to peer faculty, students, or trainees
- Continued record of active research

In the case of research scores one stand deviation below the departmental or college average, the candidate should address these occurrences in the narrative, taking care to note problems, actions to rectify them and extenuating circumstances that may have led to lower than expected scores. In the case of higher scores, the candidate should likewise identify the action, time collaborations that contributed to their success.

The probationary period as an Assistant Professor allows faculty time to develop. Quality productive research requires time and due diligence. If a faculty member has consecutive years with limited research contributions when compared to the expectation of their rank, the faculty member and their Chair would design a plan to identify training opportunities, potential ideas of interest, and collaborations to assist in addressing productivity in research.

Service

The COM faculty with tenure track appointments are expected to consistently engage in service furthering the missions of Departments, COM, and SHSU, their profession and the community the COM serves. Service may be, but are not limited to administrative and committee service, unpaid service beyond SHSU to the profession locally, regionally, nationally, and internationally, including academic or professionally related public service. Additionally, collegiality is part of service. Primary evidence of collegiality will be considered as adherence to departmental, college, and university policies and decisions; furthering the department goals; mentoring junior faculty; working within the existing administrative structures of the department, college, and university; dutiful fulfillment of committee responsibilities; promoting harmony and the general welfare of the department, college, and university; and support and assistance of other faculty members

Faculty candidates will maintain a service portfolio which includes but need not be limited to:

Service Narrative

- Define the philosophical foundations that are core to your individual service interests
- Describe the ways in which your philosophy has been made manifest
 - Participation in selected COM, SHSU, local, regional, national, and international committees/organizations
- Includes examples of impact
 - Quantify the Impact of committees
 - Number of organizations
 - Time dedicated to community
 - Students
 - Patients

- Causes
 - Leadership roles
- Evidence of Impact:
 - Impact on
 - The mission of SHSU/COM/Department/Faculty
 - Students
 - Community
 - Profession

Expectations by Rank

All Ranks Demonstrate:

- Maintain appropriate professional demeanor during service activities and in locations where service activities are provided or prepared
- Adhere to university/college/department policies, and procedures during service activities
- Participate in approved COM events

The percent effort dedicated to service is unique to each faculty member and is an agreement to be documented at the annual faculty review with the department chair. The FTE calculator, a dynamic model, is designed to provide a quantifiable structure to service efforts; however, impact is difficult to quantify and should be described in the service narrative.

Expectation of an Assistant Professor working to Associate Professor

The expectation for an Assistant Professor is to establish an area of service. The faculty member should be engaged in service that is needed by the COM and just as critical is service that is important to them and their professional and personal development. Expectations include but are not limited to engagement in service at the Department/Division, COM, SHSU, local, regional, national, and international organizations:

- Faculty are expected to actively participate in two COM selected committees and one University Committee each year
- Completing training and participating in medical student interviews (standard to be set and discussed each year at the faculty annual evaluation)
- Participating as a member of a committee
- Participating as a member of a subcommittee or work group
- Participating in student or faculty research grant review
- Participating in medical student recruiting activities
- Performing Faculty Advisor duties
- Participating in professional and other activities to enhance professional and personal growth

Expectation of an Associate Professor working to Full Professor

Faculty at the rank of Associate are expected to demonstrate advanced responsibilities in the domain of service. It is expected that an assistant Professor seeking promotion to associate will:

- Serve as an officer on a committee

- Develop materials or policies used in committee work
- Develop materials used in medical student recruiting
- Perform COM Learning Community advisor duties
- Perform COM student organization Faculty Sponsor duties
- Complete a leadership training course
- Initiating programs to enhance the COM, SHSU or its mission, and additional organizations the faculty associate

Expectation of a Full Professor

Faculty at the rank of Associate Professor applying for promotion to Full Professor must meet the expectations of Full Professor Post Tenure Review. In addition to the criteria for Assistant to Full Professor listed above, the Full Professor is expected to carry out the following after promotion.

- Engage in leadership of a high impact on committees, subcommittees, or work groups
- Develop a program to address needs at the COM
- Engage in leadership of a COM service program
- Develop or directing programs to enhance the COM or its mission
- Service as elected or appointed officer of a professional society or association
- Provide presentations to professional organizations at the national or international level
- Chair a session at a scientific conference
- Serve as reviewer for manuscript or research grant at national or international level
- Serve as editorial board member