

# **FACULTY HANDBOOK**

## **2022 – 2023**



Last Reviewed Fall 2021  
Approved by BOT 10/21/2021

## Table of Contents

INTRODUCTION . . . . .	5
I. UNIVERSITY ORGANIZATION AND GOVERNANCE . . . . .	6
1.1 University of Tennessee Board of Trustees	
1.2 University of Tennessee System Administration	
1.3 UT Southern Academic Administration	
1.3.1 Chancellor	
1.3.2 Provost and Vice Chancellor for Academic Affairs	
1.3.3 School Chairs and Program Coordinators	
1.3.3.1 Responsibilities of School Chairs	
1.3.3.2 Responsibilities of Program Coordinators	
1.4 Faculty Responsibility in Shared Governance	
1.4.1 Faculty Senate	
1.4.2 Faculty Meetings	
1.5 Faculty Responsibility for the Academic Program	
1.5.1 Proposals for Curricular Changes	
1.5.2 Proposals for Substantive Curricular Changes	
1.6 Academic Program Evaluation	
II. FACULTY APPOINTMENTS . . . . .	12
2.1 Definition of Faculty	
2.2 Types of Faculty Appointments	
2.2.1 Full-Time Faculty Appointments	
2.2.1.1 Regular Faculty	
2.2.1.2 Temporary Faculty	
2.2.1.3 Instructor	
2.2.1.4 Librarian	
2.2.2 Part-Time Faculty Appointments	
2.3 Statement of Terms of Appointment	
2.3.1 Full-Time Faculty Appointments	
2.3.1.1 Tenured Appointments	
2.3.1.2 Probationary Appointments	
2.3.1.2.1 Length of Probationary Period	
2.3.1.2.2 Specific UT Southern Probationary Policy	

	2.3.1.2.3 Extension of Probationary Period	
	2.3.1.2.4 Suspension of Probationary Period	
	2.3.1.2.5 Notice of Non-Renewal of Probationary Appointment	
	2.3.1.2.6 Enhanced Tenure-Track Review (ETTR)	
	2.3.1.3 Renewable Appointments: Instructor and Librarian	
	2.3.1.4 Temporary Appointments	
	2.3.2 Part-Time Faculty Appointments	
2.4	Termination of Faculty Appointments	
	2.4.1 Resignation and Retirement	
	2.4.2 Termination by the University of Non-Tenured Appointment	
	2.4.2.1 Non-Renewal of a Probationary Appointment or a Renewable Appointment	
	2.4.2.2 Termination Prior to the Expiration of Date of Appointment	
	2.4.2.2.1 Termination of a Renewable Appointment	
	2.4.2.2.2 Termination of a Probationary Appointment	
	2.4.3 Termination of a Tenured Appointment	
	2.4.3.1 Board Policy	
	2.4.3.2 Additional UT Southern Policy	
	2.4.3.2.1 Relinquishment or Forfeiture of Tenure	
	2.4.3.2.2 Termination Procedures for Adequate Cause	
	2.4.4 Disciplinary Sanctions Other than Termination for Adequate Cause	
III.	RECRUITMENT AND HIRING OF FACULTY . . . . .	23
	3.1 Full-Time Faculty	
	3.1.1 Authorization to Search	
	3.1.2 Recruitment and Interview Procedures	
	3.1.3 Certification of English Language Competency	
	3.1.4 Letter of Appointment	
	3.1.5 Tenure upon Initial Appointment	
	3.2 Part-Time (Adjunct) Faculty	
	3.3 Faculty Credentials	
	3.4 Faculty Records	
IV.	FACULTY RIGHTS AND TENURE . . . . .	27
	4.1 Statement on Academic Freedom and Tenure	
	4.2 Faculty Rights of Appeal	

4.2.1	Appeals through Administrative Channels	
4.2.1.1	Appeal Procedures for Non-Reappointment of Probationary Faculty Member	
4.2.2	Appeals through the Faculty Appeals Committee	
4.2.3	Appeals through the Tennessee Uniform Administrative Procedures Act	
4.3	Consulting and Outside Employment	
4.4	Sabbatical Leave	
V.	ADVANCEMENTS IN RANK AND AWARDING OF TENURE . . . . .	37
5.1	Faculty Rank	
5.1.1	Instructor	
5.1.2	Assistant Professor	
5.1.3	Associate Professor	
5.1.4	Professor	
5.1.6	Graduate Faculty	
5.1.6	Emeritus Status	
5.2	Policies on Advancement in Rank and Tenure	
5.2.1	Board Criteria for the Awarding of Tenure	
5.2.2	Additional UT Southern Criteria for Determining Advancement in Academic Rank and the Awarding of Tenure	
5.2.3	Procedures for Applying for Tenure and Promotion	
5.2.3.1	External Review Letter	
5.2.3.2	Peer Review of Teaching	
5.2.3.3	Procedures for Applying for Tenure	
5.2.3.4	Procedures for Applying for Promotion	
VI.	FACULTY EVALUATION . . . . .	45
6.1	Evaluation of Non-Tenured Full-Time Faculty	
6.1.1	Enhanced Tenure-Track Review (ETTR) for Probationary Appointments	
6.1.2	Additional UT Southern Requirements for Enhanced Tenure-Track Review	
6.2	Evaluation of Tenured Full-Time Faculty	
6.2.1	Annual Performance-and-Planning Review (APPR)	
6.2.2	Periodic Post-Tenure Performance Review	
6.2.3	Enhanced Post-Tenure Performance Review (EPPR)	

6.2.4	Campus Coordination of the APPR and EPPR Review Processes	
6.2.5	Comprehensive Performance Review Based on Findings of an Academic Program Review	
6.3	Evaluation of Graduate Faculty	
6.4	Evaluation of Part-Time (Adjunct) Faculty	
Appendices		56
Appendix A	Curriculum Proposal Form	
Appendix B	Annual Self-Evaluation and Faculty Development Plan Form	
Appendix C	Faculty Evaluation by Division Chair and Provost Form	
Appendix D	Enhanced Tenure-Track Review Form	
Appendix E	Procedural Guidelines Regarding Teaching	
Appendix F	Requirements Related to Working from Home	
Appendix G	Promotion and Tenure Portfolio Guidelines	
Appendix H	Promotion and Tenure Application Cover Sheet	
Appendix I	Syllabus Guide	
Appendix J	Constitution and By-Laws of Faculty Senate and By-Laws of Standing Committees	

## INTRODUCTION

This Faculty Handbook is intended to be a general summary of university governance, policies, and guidelines specific to faculty. Other information regarding employment and university services and resources is available in the Employee Handbook. All members of the faculty are expected to be thoroughly familiar with the Faculty Handbook and the Employee Handbook, along with the University Catalog and the [UT Code of Conduct](#). Members of the faculty should be familiar also with [UT Policy BT0006](#), Policies Governing Academic Freedom, Responsibility, and Tenure. This policy is referenced frequently in appropriate sections of this Faculty Handbook, and faculty are recommended to read the policy in its entirety. These publications, including the Faculty Handbook, are amended or revised as required. Amendments and revisions are subject to approval by the UT Board of Trustees or the University President ([BT0007](#)). The Appendices to this Faculty Handbook have not been approved as part of the official Faculty Handbook by the UT Board of Trustees, but rather are included with this Faculty Handbook for convenience, and will be updated and amended as necessary without need for the process specified by [BT0007](#).

The provisions of this handbook apply to all faculty members. It is produced by the Office of the Provost and Vice Chancellor for Academic Affairs, and it supersedes all others previously issued. Questions relating to the contents of this handbook should be directed to the Office of Academic Affairs.

The material in this handbook in no way replaces or supersedes information published in the University Catalog or in the policies of the UT Board of Trustees. In the event of an apparent or real contradiction, the Catalog and the Board policy shall be given precedence. Current versions of the University of Tennessee Policies are available online [here](#).

The contents of this handbook are not intended to establish, nor should they be interpreted as establishing, a contractual relationship with any faculty member or to induce reliance thereon. The University reserves the right to modify, revoke, suspend, terminate, or change any or all of the contents of this handbook, in whole or in part, at any time, with or without notice. All faculty members will be bound by any such changes or revisions.

# **I. UNIVERSITY ORGANIZATION AND GOVERNANCE**

## **1.1 University of Tennessee Board of Trustees**

The governing body of the University of Tennessee is the Board of Trustees. The Board has delegated administrative authority to the President, who exercises this authority through delegation to, and in consultation with, a staff of vice presidents and chancellors. For a more complete description of the organization, duties, and powers of the Board, consult the Board of Trustee [website](#).

## **1.2 University of Tennessee System Administration**

The University of Tennessee is comprised of campuses in Knoxville, Chattanooga, Martin, and Pulaski (Southern), the Health Science Center in Memphis, the Institute for Public Service in Knoxville, and the Space Institute in Tullahoma. The University of Tennessee System has a presence in each of Tennessee's 95 counties. Through the combined force of its education, research, and outreach, the System serves students, business and industry, schools, governments, organizations, and citizens throughout the state.

The primary purpose of the UT System is to serve the people of Tennessee and beyond through the discovery, communication, and application of knowledge, as further elaborated in its [mission statement](#).

The UT System administration, headed by the President, enunciates the general mission of the University of Tennessee System and coordinates comprehensive, long-range plans, growth, and development of the campuses and system operating divisions. For more information about the organization, duties, and functions of the administration, see the UT System [website](#).

## **1.3 The University of Tennessee Southern Academic Administration**

### **1.3.1 Chancellor**

The Chancellor is the chief executive officer, or administrative head, of the campus. As chief executive officer, the Chancellor is fully responsible for the administration and management of the campus subject to the general supervision of the President. The Chancellor or the Chancellor's delegate represents the campus in all matters that go before the President and the Board of Trustees. The Chancellor delegates responsibility for various operations to vice chancellors and other campus administrative staff.

### **1.3.2 Provost and Vice Chancellor for Academic Affairs**

The Provost and Vice Chancellor for Academic Affairs serves as the chief academic officer and directs the area of administration that includes the academic program, faculty relations, academic advising and mentoring, academic records, learning resources, and coordination with licensure and accreditation agencies. The Provost and Vice Chancellor for Academic Affairs serves as a member of the University's Leadership Council and reports directly to the Chancellor.

#### Primary Responsibilities

1. Oversee all aspects of the academic curriculum, including coordination of the Committee on Curriculum and Academic Policy and the regular review of all academic programs;
2. Oversee the planning and initiation of any additions of academic programs based on the objectives of the University's strategic plan;
3. Coordinate the work of the Faculty, including the oversight of class assignments and scheduling, faculty development, faculty searches, and the faculty performance review process. Serve as liaison with the Faculty Senate;
4. Oversee the academic mentoring program and activities of the Student Resource Center;
5. Oversee the work of the Office of the Registrar and Academic Advising and assure effective services related to academic records and advising;
6. Oversee the work of the Director of Institutional Research and, with the Director of Accreditation and Institutional Effectiveness, oversee the institutional effectiveness process in relation to the academic program;
7. Oversee the work of the Librarian and the services of the University's library and other provisions for learning resources;
8. Oversee the academic elements of the work of the Director of the Evening Program and the Coordinator of the First Year Experience Program;
9. Oversee all continuing education programs offered for the community and region;
10. Liaise with the Vice President for Academic Affairs and Student Success and the chief academic officers of the other campuses to coordinate academic matters throughout the UT system.

#### General Responsibilities

11. Support the University's Planning and Improvement processes by setting annual Management Planning objectives and completing the annual Performance Review Process;
12. Be discrete and confidential about the activities of the Office of Academic Affairs and the Leadership Council;
13. Complete other assignments as required by the annually defined objectives of the University of Tennessee, UT Southern, and the Office of Academic Affairs or as indicated by the Chancellor.

### **1.3.3 School Chairs and Program Coordinators**

The academic program at UT Southern is administered through Academic Schools, each of which is overseen by a Chair.

#### **1.3.3.1 Responsibilities of School Chairs**



Academic School Chairs report to the Provost and Vice Chancellor for Academic Affairs and are responsible for coordinating the academic programs offered within their schools.

#### Primary Responsibilities

1. Review the development of program goals and objectives and the assessment of programs and activities within their schools after receiving them from Program Coordinators;
2. Coordinate periodic program evaluation;
3. Assist in curriculum development and revision;
4. Assist the Provost and Vice Chancellor for Academic Affairs in providing leadership and in evaluating faculty as described in sections 6.1, 6.2, and 6.3 of this handbook;
5. Represent the school faculty on the Academic Council;
6. Coordinate the up-dating of school material for Catalog revisions;
7. Promote a team approach to programs and activities within the school;
8. Provide leadership in promoting instructional improvement within the school;
9. Assist during registration and coordinate academic mentoring (advising) within the school;
10. Coordinate the preparation of school budgets;
11. Provide leadership and assistance in the recruitment and selection of new faculty;
12. Call meetings of school faculty, at least once per semester, and submit a copy of minutes to Academic Affairs;
13. Work with Program Coordinators, the Provost and Vice Chancellor for Academic Affairs, and the Registrar in reviewing class schedules, teaching loads, and the assignment of faculty to classes.

#### General Responsibilities

14. Complete other assignments as required by the annually defined objectives of UT Southern or as indicated by the Provost and Vice Chancellor for Academic Affairs or the Chancellor.

### **1.3.3.2 Responsibilities of Program Coordinators**

Program Coordinators report through the Academic School Chairs to the Provost and Vice Chancellor for Academic Affairs and are responsible for planning, coordinating, and evaluating the particular programs under their supervision.

#### Primary Responsibilities

1. Determine the program goals and objectives, and assess the outcomes;

2. Assist in curriculum development and revision under the supervision of the School Chair and the Provost and Vice Chancellor for Academic Affairs;
3. Assist the Provost and Vice Chancellor for Academic Affairs in evaluation of adjunct faculty as described in section 6.4 of this handbook;
4. Coordinate with the Assessment Committee and, if applicable, the Core Curriculum Committee in the evaluation of their programs;
5. Serve as a member of the Curriculum and Academic Policies Committee;
6. Keep program material current for the Catalog;
7. Participate in instructional improvement within the school;
8. Submit annual budgets to the School Chair;
9. Serve as a mentor to students;
10. Serve on search committees for faculty hiring;
11. Provide leadership and assistance in the recruitment and selection of new faculty within their academic area;
12. Assist in the hiring, supervision, and evaluation of adjunct faculty within their program areas;
13. Call and chair program area meetings, at least once per semester, and submit a copy or minutes to Academic Affairs;
14. Assist the School Chair/Registrar/Provost and Vice Chancellor for Academic Affairs in scheduling, determining teaching loads, and assigning faculty members to classes;
15. Select textbooks within the department, and submit textbook requests to the School Chair;
16. Where appropriate to the discipline, place and supervise interns;
17. Aid in career counseling and placement.

#### General Responsibilities

18. Complete other assignments as required by the annually defined objectives of UT Southern or as indicated by the Provost and Vice Chancellor for Academic Affairs or the Chancellor.

### **1.4 Faculty Responsibility in Shared Governance**

The voice of the faculty in University governance is indispensable. Its advice cannot be lightly given or lightly received. Everything depends upon the collegiality, mutual respect, and sensitivity of the faculty and the administrative officers. The officers are colleagues who have been assigned specific administrative responsibilities. The faculty are colleagues whose advice and counsel must influence the exercise of those responsibilities. The employer both of faculty and of officers is the Board of Trustees, which has delegated to each a set of specific responsibilities that can be successfully discharged only with the support and counsel each of the other.

Faculty members have the right to contribute to campus and university discourse that is at the heart of the shared governance of the campus and the university. When contributing to campus and university discourse, at any level within the university or the community at large, faculty members have the freedom to raise and to address, without fear of institutional discipline or restraint or other adverse employment action, any issue related to professional duties; the functioning of academic units, the campus, or the university; and department, school, campus, or university actions, positions, or policies.

The most direct responsibility of the faculty in University governance is to determine the shape of the academic programs. A less direct, but no less important, role of the faculty is to advise the officers whose duties are described above about administrative matters that are intrinsically related to the vitality and credibility of the University. These matters include (but are not necessarily limited to) the five areas listed below. The administration and faculty will both encourage and actively protect such dialogue. Both faculty and administration will carry out discussions with collegiality, civility, and respect.

- Appointment, retention, tenure, and promotion of the faculty;
- Assessment of faculty performance;
- Resolution of grievances in faculty affairs;
- Selection of University administrators;
- Determination of University priorities and budgeting.

#### **1.4.1 Faculty Senate**

The full faculty (all full-time faculty members) is represented by and delegates the transaction of much of its business to the Faculty Senate. Composed of elected faculty representatives, the Faculty Senate is the main vehicle by which the faculty influences campus-wide governance. The senate considers issues relating to curriculum, admission, retention, degrees, promotion, tenure, economic concerns, instructional practices, faculty grievances, and legislative relations. While final administrative judgment on the campus is reserved for the Chancellor, the recommendations of the senate are regarded with seriousness by all administrative officers. The Constitution and Bylaws of the Faculty Senate, along with a list of all faculty committees, is included as Appendix K of this handbook.

#### **1.4.2 Faculty Meetings**

The Faculty Senate is charged to schedule at least two official meetings of the full faculty per semester. The President of the Senate will preside at these meetings and as appropriate will bring to the faculty issues of importance for review, consideration, and voting. Additional meetings may be called by the Chancellor or the Provost and Vice Chancellor for Academic Affairs. Faculty members are expected to attend all regularly scheduled and called faculty meetings.

### **1.5 Faculty Responsibility for the Academic Program**

The full-time faculty of the University, operating through the Curriculum and Academic Policies Committee, bear responsibility for planning and developing the academic curriculum, subject to the provisions of the University of Tennessee System and the Tennessee Higher Education Commission.

The Curriculum and Academic Policies Committee oversees the establishment, review, and evaluation of curricular offerings. This Committee provides an interface for the faculty, administration, and governing board in defining the academic purposes of the University; in considering proposals for major changes in the curriculum; in assuming leadership in developing long-range plans for the University curriculum; and in assisting the Provost and Vice Chancellor for Academic Affairs in studying the problems of articulation between UT Southern and other educational institutions.

### **1.5.1 Proposals for Curricular Changes**

Proposals for curricular changes originate with qualified faculty in the school where the course or program is centered. All proposals for curricular changes should be submitted for review by the Curriculum and Academic Policies Committee to the Provost and Vice Chancellor for Academic Affairs, who chairs the Committee. All proposals should follow the template supplied by the Curriculum Proposal Form (included in this handbook as Appendix A and available from the Office of Academic Affairs).

### **1.5.2 Proposals for Substantive Curricular Changes**

Some substantive curricular changes, such as the addition of a new major or new program, must be approved by the Tennessee Higher Education Commission. Some other academic changes require that THEC be notified. Initial proposals for such substantive curricular changes should be submitted by the appropriate school for review by the Undergraduate Program Review Subcommittee or the Graduate Program Review Subcommittee of the Curriculum and Academic Policies Committee. The full Committee will consider the subcommittee's recommendation and will, as appropriate, follow the approval process prescribed [here](#) by THEC.

## **1.6 Academic Program Evaluation**

The Provost and Vice Chancellor for Academic Affairs and each School Chair will meet with faculty to analyze results of various program evaluations conducted throughout the year to determine any weaknesses or changes necessary in the school. Faculty may also be made aware of needed changes as a result of evaluations. Together, the faculty, the School Chair, and the Provost and Vice Chancellor for Academic Affairs can address these needs and formalize them into specific changes desired in the educational program. Program evaluation will periodically involve the use of outside consultants to assess a variety of issues related to a particular program

The relevant faculty, School Chair, and Provost and Vice Chancellor for Academic Affairs will together develop feasible solutions to any identified weaknesses or needs. The implementation strategy, which will include objectives, assessment criteria and procedures, and an implementation timetable, will be sent to the Curriculum and Academic Policies Committee for review and approval.

UT Policy [BT0006](#) (III.I.5) authorizes the President, based on the findings of an academic program review, to recommend to the Board of Trustees procedures under which the campus administration will conduct comprehensive performance reviews of tenured and non-tenured faculty in the program.

## II. FACULTY APPOINTMENTS

### 2.1 Definition of Faculty

The faculty of the University comprises all persons holding academic rank whose principal responsibility at the University of Tennessee Southern is to directly provide or administer academic instruction or services. Faculty members' responsibilities are classified according to the following categories: those whose principal responsibilities are teaching, designing curricula, and advising students; those whose principal responsibilities are administering academic programs and courses of study; and those whose principal responsibilities are providing library and learning services. The faculty operate through regular meetings, an elected senate, and an array of standing committees, as explained in section 1.4 of this handbook.

### 2.2 Types of Faculty Appointments

Full-time faculty appointments are of four types: regular faculty, temporary faculty, instructor, and librarian. In addition, the University may hire part-time (adjunct) faculty to teach individual courses. Every faculty member's appointment document will specify the appointment type, faculty rank, and tenure status. Regardless of type or rank, all faculty positions other than tenured positions are provisional. Holding a provisional appointment does not create an obligation for the University to reappoint a faculty member or to renew an appointment.

#### 2.2.1 Full-Time Faculty Appointments

**2.2.1.1 Regular Faculty.** Regular Faculty appointments are either probationary appointments or tenured appointments and are renewable subject to the provisions described in sections 6.1 and 6.2 of this handbook and to any provisions in individual appointment documents. These appointments carry rank and are eligible for promotion and tenure as described in section 5.2 of this handbook. Regular Faculty members are eligible to receive benefits as provided in University policies and described by the Office of Human Resources at the time of appointment.

**2.2.1.2 Temporary Faculty.** Temporary Faculty appointments may occasionally be offered to fulfill specific responsibilities. Such appointments are full-time assignments for a specified limited period of time, typically for one term or one academic year, and terminate automatically at the end of the specified period. These appointments carry rank, to be negotiated at the time of appointment, but are not eligible for promotion or tenure, nor may a Temporary Faculty appointment be converted to a Regular Faculty appointment. Temporary Faculty members are eligible to receive benefits as provided in University policies and described by the Office of Human Resources at the time of appointment. One holding a Temporary Faculty appointment may, on an equal basis with other candidates, apply for an appropriate Regular Faculty appointment should one become available.

**2.2.1.3 Instructor.** Instructor appointments are full-time assignments that are renewable subject to the provisions described in 6.1 of this handbook and to any provisions in individual appointment documents. The appointment carries the rank of Instructor but is not eligible for promotion or tenure. Nor may an Instructor appointment be converted to a Regular Faculty appointment. Instructors are eligible to receive benefits as provided in University policies and

described by the Office of Human Resources at the time of appointment. One holding an Instructor appointment may, on an equal basis with other candidates, apply for an appropriate Regular Faculty appointment should one become available.

**2.2.1.4 Librarian.** Librarian appointments are full-time 12-month appointments that are renewable subject to the provisions described in 6.1 of this handbook and to any provisions in individual appointment documents. Librarians hold faculty rank and may apply for promotion as described in section 5.2 of this handbook. However, Librarians may not hold tenure. Librarians are eligible to receive benefits as provided in University policies and described by the Office of Human Resources at the time of appointment.

## **2.2.2 Part-Time Faculty Appointments**

Part-Time (Adjunct) Faculty appointments are less than full-time assignments for a specified period of time, typically one term or one academic year, and terminate automatically at the end of the specified period. These appointments are typically to teach individual courses or to perform other clearly delimited responsibilities. Such appointments carry the rank of Instructor but are not eligible for promotion or tenure. Part-Time (Adjunct) Faculty members may be eligible to receive some benefits as provided in University policies and described by the Office of Human Resources at the time of appointment.

## **2.3 Statement of Terms of Appointment**

### **2.3.1 Full-Time Faculty Appointments**

The terms and conditions of every initial appointment and every reappointment to the faculty will be stated or confirmed in writing, and a copy of the appointment document will be supplied to the faculty member at the time of employment. Each appointment document will specify the position, academic rank, appointment period, effective dates of appointment, rate of compensation, any special conditions attached to the particular appointment or position, and any special departmental or program standards. Each appointment document will also specify whether the appointment is tenured, probationary, renewable, or temporary. The initial as well as all subsequent probationary appointment documents will inform the faculty member of matters relative to eligibility for the acquisition of tenure, including the term during which the faculty member must apply for tenure. Any subsequent extensions of or modifications to any appointment, and any special understandings or any notices incumbent upon either party to provide, will be confirmed in the reappointment document.

Initial appointments may carry advanced rank and/or tenure. Tenure, in such cases, is subject to positive action of the Board of Trustees upon the recommendation of the President. See section 3.1.5 of this handbook.

Faculty members will be notified by letter of any changes to the appointment. Notification of an award of tenure or promotion will come by letter from the Chancellor or President. Notification of other changes to an appointment—such as salary adjustments; tenure review date; or changes in rank, title, or assignment—will come by letter from the Provost and Vice Chancellor for Academic Affairs. Any other oral or written representations concerning such adjustments and

changes are unauthorized and not binding on the University. Normally, salary adjustments and other changes in employment are made following approval of the University budget by the Board of Trustees at its annual meeting in June.

Full-time faculty appointments typically cover the nine-month academic year, beginning the full week before the week in which classes begin in the fall (mid-August) and ending at the end of the week following Commencement in the spring (mid-May).

### **2.3.1.1 Tenured Appointments**

Faculty members holding tenured appointments receive annual appointment documents as described above in section 2.3.1 of this handbook. Only faculty members holding Regular Faculty appointments are eligible to hold tenure, which is always granted within a particular academic program or discipline. Non-renewal of a tenured appointment may occur only according to the provisions described in section 2.4.3 of this handbook.

### **2.3.1.2 Probationary Appointments**

A Probationary Appointment is a Regular Faculty appointment that is tenure eligible (tenure-track) but for which tenure has not yet been awarded. Any tenure-track faculty member must serve a probationary period at UT Southern prior to being considered for tenure (see section 2.3.1.2.1 below). Probationary appointments are for one year, subject to renewal according to the performance expectations described in sections 6.1 of this handbook. A notice of non-renewal will follow the process described in section 2.3.1.2.5 below.

#### **2.3.1.2.1 Length of Probationary Period**

According to UT System Policy (BT0006, III.E),

Except as otherwise provided in this policy, the probationary period shall be six years. The faculty member will apply for tenure during the sixth year, and if tenure is not granted, the faculty member will be permitted to serve a seventh year as a terminal year. If a faculty member begins employment after July 1 and before January 1, the remaining term of the faculty member's initial appointment will count as the first year of the probationary period, so that what is treated as the first year of a faculty member's probationary period will not be shorter than six months. The provision of a probationary period and any statement in an appointment letter or otherwise regarding the probationary period and the year of mandatory tenure consideration does not guarantee retention of the faculty member for the full probationary period.

A faculty member may request an early consideration for tenure before the sixth year of his or her probationary period but no sooner than the next regular tenure cycle after completion of the first year of the probationary period. Each campus shall adopt policies and procedures regarding a faculty member's early application for tenure, and the consequences of

such a candidate's failure to receive tenure upon an early application, which shall be effective upon approval by the Board of Trustees and shall be included in the faculty handbook.

#### **2.3.1.2.2 Specific UT Southern Probation Policy**

At UT Southern the tenure-track faculty member will apply for tenure during the fall semester of the sixth probationary year. (See section 5.2.3 this handbook.) A faculty member may request in writing consideration for tenure before the end of the probationary period specified in the original letter of appointment. Such a request must be approved by the Provost and Vice Chancellor for Academic Affairs upon the recommendation of the faculty member's School Chair and the faculty member's Enhanced Tenure-Track Review committee (see section 2.3.1.2.6 below). Whether applying in the sixth probationary year or earlier, a faculty member will be considered for tenure only once. If tenure is not granted, the faculty member will automatically receive an additional terminal appointment for one academic year but may not apply for tenure a second time.

#### **2.3.1.2.3 Extension of Probationary Period**

According to UT System Policy (BT0006, III.E),

For good cause that is either related to procedural error or results from a significant disruption of University operations that has impeded the faculty member's opportunity to conduct required research or other scholarly activity, teaching, and/or service, the University and a tenure-track faculty member may agree in writing to extend a six-year probationary period for a maximum of two additional years. The proposed extension must be approved in advance by the chief academic officer, the Chancellor, and the vice president for academic affairs.

#### **2.3.1.2.4 Suspension of Probationary Period**

According to UT System Policy (BT0006, III.E),

The chief academic officer shall decide whether the probationary period will be suspended when the following circumstances occur:

- a. the faculty member accepts a part-time faculty position;
- b. the faculty member accepts an administrative position; or
- c. the faculty member is granted a leave of absence or modified duties assignment.

The chief academic officer shall give the faculty member written notice of the decision concerning suspension of the probationary period.

#### **2.3.1.2.5 Notice of Non-Renewal of Probationary Appointment**



According to UT System Policy (BT0006, III.E),

Notice that a tenure-track faculty member's appointment will not be renewed for the next year shall be made in writing by the chief academic officer, upon the recommendation of the department head and dean, according to the following schedule:

- a. In the first year of the probationary period, not later than March 1 for an academic year appointment and no less than three months in advance for any other term of appointment;
- b. In the second year of the probationary period, not later than December 15 for an academic year appointment and no less than six months in advance for any other term of appointment; and
- c. In the third and subsequent years of the probationary period, not less than twelve months in advance.

These notice requirements relate only to service in a probationary period with the University. Credit for prior service shall not be considered in determining the required notice. Notice of non-renewal shall be effective upon personal delivery or upon mailing, postage prepaid, to the faculty member's residential address of record at the University.

#### **2.3.1.2.6 Enhanced Tenure-Track Review (ETTR)**

UT Policy BT0006 requires Regular Faculty on Probationary Appointments to undergo enhanced review during the third or fourth year of the probationary period. This Enhanced Tenure-Track Review (ETTR) is in addition to the annual review undergone by all full-time faculty. (See section 6.1 of this handbook for a description of annual review and the ETTR process.) The intent of ETTR is to assess the faculty member's progress, and to inform the faculty member of his or her progress, toward the grant of tenure.

#### **2.3.1.3 Renewable Appointments: Instructor and Librarian**

Faculty members holding Instructor appointments and Librarian appointments receive annual appointment documents as described above in section 2.3.1 of this handbook. Such appointments are renewable annually subject to satisfactory performance (see section 6.1 of this handbook) and at the sole discretion of the University.

Regardless of the stated term or other provisions of any appointment, written notice that a renewable appointment is not to be renewed will be given to the faculty member as early as possible in advance of the expiration of the appointment but in no case later than five business days after the conclusion of the June meeting of the Board of Trustees.

When a decision not to renew the appointment has been reached, the faculty member

involved will be informed of that decision in writing by the Provost and Vice Chancellor for Academic Affairs.

### **2.3.1.4 Temporary Faculty Appointments**

Faculty members holding a Temporary Faculty appointment receive an appointment document at the time of initial appointment as described above in section 2.3.1 of this handbook. Temporary Faculty appointments, which are for a specified period of time and terminate automatically at the end of the specified period, are typically not renewed. Under unusual circumstances, however, as determined by the Provost and Vice Chancellor for Academic Affairs, a Temporary Faculty appointment may be renewed and a reappointment document issued.

### **2.3.2 Part-Time (Adjunct) Faculty Appointments**

At the time of employment, the terms and conditions of every Part-Time (Adjunct) Faculty appointment will be stated or confirmed in writing and a copy of the appointment document will be supplied to the faculty member. Such appointments are for a specified period of time, typically one term or one academic year, and terminate automatically at the end of the specified period. Each appointment document will specify the position, academic rank, appointment period, effective dates of appointment, rate of compensation, any special conditions attached to the particular appointment or position, and any special departmental or program standards. Part-Time (Adjunct) Faculty may be appointed to a maximum of 12 credit hours per semester or the equivalent. The performance of Part-Time (Adjunct) Faculty is evaluated by the process described in section 6.4 of this handbook.

## **2.4 Termination of Faculty Appointments**

### **2.4.1 Resignation and Retirement**

#### Resignation

Faculty members who wish to resign have an obligation to make their resignation effective at the end of the academic year or, under exceptional circumstances, at the end of an academic semester. In all cases notification of resignation should be made early enough to allow the University to cover any scheduled assignments.

Teaching faculty on academic-year appointments who resign before the end of the academic year are paid for the number of semesters they have taught, at one half of annual salary per semester. Persons who leave their teaching positions during the semester will be compensated on a pro-rated basis, receiving a salary for only the service completed. Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

Tenure is relinquished upon resignation.

#### Retirement

Under normal circumstances, a member of the faculty controls the decision to retire. The effective date of retirement for academic-year faculty is normally at the end of either the fall or spring semesters. Computation of the final payment for the last year of service is calculated in the same way as for resignations (above). Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

#### After Retirement

1. Emeritus status may be given to recognize retiring faculty members or administrators for distinguished service to the University of Tennessee over an extended period of time. Complete information on the policy appears in UT Policy [HR0102](#).
2. Benefits available for retirees can be found on the UT Human Resources [website](#).
3. The Post-Retirement Service Program is a plan for tenured faculty to transition from full-time teaching and/or research to retirement upon agreement by the faculty member, the department chair, and other required administrators. Complete information on the policy appears in UT Policy [HR0374](#).

#### Exit Procedures

Employees who have resigned or retired must complete the exit interview process to ensure clearance of all personal debts owed and the return of all assigned university property to the respective department prior to termination and release of final wage payments. This requirement is a part of UT Policy [HR0125](#). Faculty should contact UT Southern Human Resources to initiate this process.

### **2.4.2 Termination by the University of Non-Tenured Appointment**

#### **2.4.2.1 Non-Renewal of a Probationary Appointment or a Renewable Appointment**

A non-tenured faculty member holding either a probationary or a renewable appointment will be notified in writing by the Provost and Vice Chancellor for Academic Affairs if the University, in its sole discretion, chooses not to renew the faculty member's appointment. For faculty holding probationary appointments, such notification will be given according to the schedule included in section 2.3.1.2.5 of this handbook. For faculty holding renewable appointments, such notification will be given no later than five business days after the conclusion of the June meeting of the Board of Trustees.

#### **2.4.2.2 Termination Prior to the Expiration Date of Appointment**

##### **2.4.2.2.1 Termination of a Renewable Appointment**

A non-tenure-track faculty appointment may be terminated for adequate cause (as defined in section 2.4.3.1 of this handbook) prior to the expiration of the appointment term. In the event that a program coordinator or school chair recommends to the Provost and Vice Chancellor for Academic Affairs that a non-tenure-track faculty member be terminated for cause, the chair and Provost and

Vice Chancellor for Academic Affairs shall meet with the faculty member to present the reasons for the recommended termination and to permit the faculty member to respond. If, after this meeting, the chief academic officer concludes that adequate cause for the termination exists, the faculty member is informed in writing. A non-tenure-track faculty member whose appointment has been terminated for adequate cause shall be notified of the right to a post-termination hearing under the Tennessee Uniform Administrative Procedures Act.

In the event of Extraordinary Circumstances (as defined in Board Policy and quoted in Section 2.4.3.1), a non-tenure-track appointment may be terminated following the same procedures applicable to tenure-track faculty.

At any time the University may terminate without cause the appointment of a non-tenure-track faculty member. The termination may be implemented by paying the remaining salary due during the appointment.

#### **2.4.2.2.2 Termination of a Probationary Appointment**

The termination of a probationary appointment before the expiration date of the appointment follows the same procedures as those used for the revocation of tenure and termination of a tenured faculty appointment (described in section 2.4.3 of this handbook). The procedures for non-renewal of a probationary appointment are explained above in section 2.4.2.1 of this handbook.

### **2.4.3 Termination of a Tenured Appointment**

#### **2.4.3.1 Board Policy**

UT Policy defines tenure as “a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for Adequate Cause, financial exigency, or academic program discontinuance” (BT0006, III.A).

UT Policy details these grounds for termination of tenure as follows (BT0006, III.J):

1. Grounds for Termination
  - a. Relinquishment or Forfeiture of Tenure

A tenured faculty member relinquishes tenure upon resignation or retirement from the University. A tenured faculty member forfeits tenure upon taking an unauthorized leave of absence or failing to resume the duties of his or her position following an approved leave of absence. Forfeiture results in automatic termination of employment. The chief academic officer shall give the faculty member written notice of the forfeiture of tenure and termination of employment.

- b. Extraordinary Circumstances

Extraordinary circumstances warranting termination of tenure may involve either financial exigency or academic program discontinuance. In the case of financial exigency, the criteria and procedures outlined in the Board-approved Financial Exigency Plan for each campus shall be followed. In the case of academic program discontinuance, the termination of tenured faculty may take place only after consultation with the faculty through appropriate committees of the department, the college, and the Faculty Senate.

If termination of tenured faculty positions becomes necessary because of financial exigency or academic program discontinuance, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member. The position of any tenured faculty member displaced because of financial exigency or academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer.

c. Adequate Cause

"Adequate cause" for terminating a tenured faculty member means the following:

- (1) Unsatisfactory Performance in Teaching, Research, or Service which includes the following and similar types of unsatisfactory performance:
  - a) failure to demonstrate professional competence in teaching, research, or service;
  - b) failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to failure to comply with a lawful directive of the department head, dean, or chief academic officer with respect to the faculty member's duties or responsibilities;
  - c) inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;
  - d) loss of professional licensure if licensure is required for the performance of the faculty member's duties;
  - e) with respect to members of the Health Science Center faculty, failure to be granted or loss of medical staff membership and privileges at affiliated teaching hospitals;
  - f) loss of appointment (or substantive alteration of the faculty member's work) with an affiliated entity unless approved in advance by the chief academic officer (or designee) (for example, loss of employment with an affiliated medical practice group or loss of "joint faculty" support from Oak Ridge National Laboratory);
  - g) as specified in [BT0006] Appendix D, paragraph 3, cessation of employment with an external entity/ primary employer if tenure was granted contingent upon remaining employed by the external entity/primary employer; or

- h) dishonesty or other serious violation of professional ethics or responsibility in teaching, research, or service; or serious violation of professional responsibility in relations with students, employees, or members of the community.

(2) Misconduct, which includes the following and similar types of misconduct:

- a) failure or persistent neglect to comply with University policies, procedures, rules, or other regulations, including but not limited to violation of the University's policies against discrimination and harassment;
- b) falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;
- c) theft or misappropriation of University funds, property, services, or other resources;
- d) admission of guilt or conviction of: (i) a felony; or (ii) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration; or
- e) any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.

## 2. Termination Procedures for Adequate Cause

Each campus shall establish procedures for terminating a tenured faculty member, or a tenure-track faculty member before the expiration of the annual term, for Adequate Cause. Termination procedures shall incorporate and be consistent with the procedures in Appendices B and C [of BT0006]. The procedures shall be effective upon approval by the Board of Trustees and shall be published in the campus faculty handbook.

The procedures in [BT0006] Appendix B shall apply if the Adequate Cause grounds for termination include both (i) unsatisfactory performance in teaching, research, or service and (ii) misconduct.

### 2.4.3.2 Additional UT Southern Policy

#### 2.4.3.2.1 Relinquishment or Forfeiture of Tenure

Faculty members who wish to resign have an obligation to make their resignation effective at the end of the academic year or, under exceptional circumstances, at the end of an academic semester. In all cases notification of resignation must be made early enough to allow the university to cover any scheduled assignments. Teaching faculty on academic-year appointments who resign before the end of the academic year are paid for the number of semesters they have taught, at one half of annual salary per semester. Persons who leave their teaching positions during the semester will be compensated on a pro-rated basis, receiving a salary for only the service completed. Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

#### **2.4.3.2.2 Termination Procedures for Adequate Cause**

UT Southern will follow the termination procedures for Adequate Cause described in the appendices of UT Policy BT0006: Appendix B Termination Procedures for Unsatisfactory Performance in Teaching, Research, or Service; Appendix C Termination Procedures for Misconduct; and Appendix C-1 Termination Procedures for Title IX Sexual Harassment. These documents are available on the UT Policy [website](#).

#### **2.4.4 Disciplinary Sanctions Other than Termination for Adequate Cause**

UT Policy (BT0006, III.K) allows for disciplinary sanctions of faculty members other than termination for adequate cause:

Disciplinary sanctions other than termination may be imposed against a faculty member. If the proposed sanction is suspension without pay for a definite term (no more than one year), the procedures set forth in [BT0006] Appendix B or C (as applicable and as tailored to reflect that the proposed sanction is suspension without pay rather than termination) shall be offered in connection with the suspension.

If the proposed sanction does not involve suspension without pay, the department head shall make a recommendation to the dean, and the dean shall make a recommendation to the chief academic officer. The chief academic officer shall give the faculty member written notice of the proposed sanction and the supporting reason(s) and shall offer him or her an opportunity to respond both in writing and in person. The faculty member may appeal the proposed sanction through established appeal procedures (see section 4.2 of this handbook), and the sanction shall be held in abeyance until conclusion of the appeal. A decision by the Chancellor on appeal will be the final decision for the University and not appealable to the President.

### **III. RECRUITMENT AND HIRING OF FACULTY**

#### **3.1 Full-Time Faculty**

##### **3.1.1 Authorization to Search**

An authorization to search is required to fill any new or vacated position. School Chairs must submit requests and justifications for any new positions to the Provost and Vice Chancellor for Academic Affairs during the budget conferences for the following year. The requests should include the proposed rank, salary, and job description. The Provost and Vice Chancellor for Academic Affairs will, on behalf of the Chancellor, either grant or withhold authorization to fill new positions or vacancies created through resignation or termination of appointment after due consideration of budget and enrollment projections, subject to UT policy.

##### **3.1.2 Recruitment and Interview Procedures**

The University is committed to affirmative action to recruit a diverse pool of highly qualified applicants; therefore, search procedures should be designed to ensure that qualified individuals are made aware of any position vacancy. A thorough search and careful screening procedure must precede any recommendation of appointment. The complexity of the search process depends upon the nature of the position, with a more extensive search necessitated by a regular, full-time appointment.

The Provost and Vice Chancellor for Academic Affairs will consult with the department/school faculty about the program needs, the minimal qualifications for the position, the primary and secondary areas of specialties, and the procedure for the search. He or she will then, in consultation with the relevant school chair, appoint an advisory search committee comprised of at least three faculty members and name one of them to serve as committee chair. The composition of the committee should conform to all relevant HR guidelines.

For regular full-time faculty positions, the committee will recommend candidates, typically three, to be invited for on-campus interviews. For instructor or temporary faculty positions, Teams/Zoom or other remote technology interviews may substitute for on-campus interviews.

As a part of the interview process, a candidate may be required to make a formal presentation on an appropriate subject. Such presentations will be announced in advance by the search committee and will be open to faculty, students, and administration of the University. No one may be recommended for an initial appointment who has not been interviewed by the Provost and Vice Chancellor for Academic Affairs and/or the Chancellor.

Once interviews are completed, the search committee will submit its formal recommendation to the Provost and Vice Chancellor for Academic Affairs. The Provost and Vice Chancellor for Academic Affairs will forward the committee's recommendation, along with her/his own, to the Chancellor, who will make the final selection of the candidate.

Note: For full-time positions that involve a combination of both teaching and non-teaching obligations, the candidate must have the same academic credentials and meet the same criteria



for employment as full-time teaching faculty. (See section 3.3 of this handbook.)

### **3.1.3 Certification of English Language Competency**

The School Chair, in consultation with the search committee, should certify that the candidate can communicate effectively with students in the English language. The relevant policy can be found [here](#) and on the website of UT Academic Affairs and Student Success.

### **3.1.4 Letter of Appointment**

The Vice Chancellor for Academic Affairs will provide a formal letter of appointment for the selected candidate. The appointment letter must specify

1. The academic rank at which the faculty member is being appointed,
2. The initial salary and related financial terms (such as startup funding, travel allowances, etc.),
3. The nature of the appointment (tenure-track or non-tenure track) and length of any probationary period,
4. The academic year during which tenure and/or promotion must be considered,
5. A complete description of what constitutes the terminal degree for the position, if not a doctorate, and
6. The criteria the faculty member must satisfy before being considered eligible for promotion or tenure review if the appointment occurs before the terminal degree is obtained.

The new faculty member's written acceptance of the letter of appointment, together with the execution of normal University employment forms and the provision of official copies of all college transcripts to the Office of Academic Affairs, completes the initial appointment to employment between the University and the faculty member. (See also section 2.3.1 of this handbook.)

### **3.1.5 Tenure upon Initial Appointment**

UT Policy BT0006 (III.D) does allow for the granting of tenure upon initial appointment with approval by the Board of Trustees:

No faculty member shall be granted tenure upon initial appointment except by positive action of the Board of Trustees upon the recommendation of the President, which shall include documentation of compliance with all tenure review and recommendation procedures stated in Appendix A and as established by the campus in accordance with Section G of this Article III. The Board of Trustees will grant tenure upon initial appointment only if (1) the proposed appointee holds tenure at another higher education institution and the Board determines that the President has documented that the proposed appointee cannot be successfully recruited to the University without being granted tenure upon initial appointment; or (2) the Board of Trustees determines that the President has documented other exceptional circumstances warranting the grant of tenure upon initial appointment. When

necessary between regular meetings of the Board of Trustees, the Board's executive committee may act on behalf of the Board to grant tenure upon initial appointment in accordance with the provisions of this Section D.

### **3.2 Part-Time (Adjunct) Faculty**

The appropriate Program Coordinator, in consultation with the School Chair and Provost and Vice Chancellor for Academic Affairs, is primarily responsible for recruiting Part-Time (Adjunct) Faculty. Applicants must submit a letter describing their qualifications and interest in the position, a current curriculum vitae, and the names and contact information of three current references. Part-Time (Adjunct) Faculty are required to have the academic credentials and to meet the criteria for employment that are detailed in section 3.3 of this handbook.

The School Chair will make a recommendation to the Provost and Vice Chancellor for Academic Affairs, who must also interview the applicant for the Part-Time (Adjunct) Faculty appointment. Any official offer of employment will be made by the Provost and Vice Chancellor for Academic Affairs. At the time of appointment, the faculty member will be provided with an appointment document as described in section 2.3.2 of this handbook. Also at the time of appointment, the candidate must provide official copies of all college transcripts and execute normal University employment forms.

### **3.3 Faculty Credentials**

In hiring faculty, whether full-time or part-time, the University adheres to the guidelines provided by its regional accrediting body, the Southern Association of Colleges and Schools Commission on Colleges: Faculty Credentials—Guidelines (and any updates and revisions to the Guidelines). Those guidelines read as follows:

For each of its educational programs, the institution justifies and documents the qualifications of its faculty members. When an institution defines faculty qualifications using faculty credentials, institutions should use the following as credential guidelines:

- a. Faculty teaching general education courses at the undergraduate level: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- b. Faculty teaching associate degree courses designed for transfer to a baccalaureate degree: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- c. Faculty teaching baccalaureate courses: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline).
- d. Faculty teaching graduate and post -baccalaureate course work: earned doctorate/terminal degree in the teaching discipline or a related discipline.

SACSCOC has reiterated at its annual meetings that a faculty member's qualifications for a particular teaching assignment may include or may rest on professional or artistic/creative

accomplishments, licensures/certifications, and a range of other evidence of “competence, effectiveness and capacity” in successfully meeting the objectives of a given course. The University may consider such additional qualifications when hiring faculty.

### **3.4 Faculty Records**

Permanent record files for faculty members are maintained in the Office of the Provost and Vice Chancellor for Academic Affairs. Included in these files are employment agreements, personal data records, official transcripts, evaluations, correspondence, and other relevant materials. Faculty records related to payroll and benefits are maintained by Office of Human Resources. All faculty records are maintained with proper regard for security and confidentiality, subject to the requirements of the Tennessee Public Records Act. Access is limited to those persons whose position carries authorization for record use and review. With reasonable notice and during regular business hours, any faculty member may review his/her own record in the presence of the Provost and Vice Chancellor for Academic Affairs. Materials may not be removed, substituted, or photocopied without the approval of the Provost and Vice Chancellor for Academic Affairs.

Upon hire, each employee will complete a Personnel File Access and Disclosure Form to establish the level of information the Office of Human Resources is permitted to disclose to interested parties upon request. Information from an employee’s personnel file will be made available only through the Office of Human Resources and only within the guidelines established by UT Policy [HR0130](#) Personnel Files and Release of Information.

Faculty members are expected to keep their records current by reporting changes as required by the University, including, but not limited to, records affecting directory information, taxes and benefits, additional training and degrees, research, special honors and recognitions, offices and memberships, publications, and other pertinent information.

## IV. FACULTY RIGHTS AND TENURE

### 4.1 Statement on Academic Freedom and Tenure

UT Policy [BT0006](#), which details the policies governing academic freedom, responsibility, and tenure, is referenced frequently in appropriate sections of this handbook. Articles I and II of the document, quoted below, establish the principle of academic freedom; Article III, quoted in part below, establishes the principle of and policies governing academic tenure. Those policies governing academic tenure, such as the probationary period, criteria for tenure, application procedures, performance reviews, etc., are referenced, as noted, in the appropriate sections of this handbook:

The Board of Trustees is constituted by statute of the State of Tennessee as the governing body of The University of Tennessee, with complete and full authority over the organization and administration of the University and its constituent parts, and over the granting of tenure to members of the faculty.

The principal mission of the University is the discovery and dissemination of truth through teaching, research and service. The Board recognizes that freedom of inquiry and expression is indispensable for this purpose and believes that it and the administration and faculty should cooperate to that end. In the University's program of teaching, research, and service, it is essential that the Board, administration, and faculty cooperate voluntarily, each contributing freely, according to his or her qualifications, in a mutually beneficial exchange of information and ideas.

The following statement is intended to record the policy and procedures of the University with respect to academic freedom, responsibility, and tenure. The Board considers these principles compatible with its statutory authority and responsibilities and the constitutional guarantee of freedom of speech and inquiry to each citizen of the United States.

#### Article I. Academic Freedom and the Responsibility of the Faculty Member

A healthy tradition of academic freedom and tenure is essential to the proper functioning of a University. At the same time, membership in a society of scholars enjoins upon a faculty member certain obligations to colleagues, to the University, and to the State that guarantees academic freedom.

1. The primary responsibility of a faculty member is to use the freedom of his or her office in an honest, courageous, and persistent effort to search out and communicate the truth that lies in the area of his or her competence.
2. A faculty member is entitled to full freedom in research and in publication of the results, subject to the adequate performance of his or her other academic duties, but research for pecuniary gain either within or beyond the scope of his or her employment must be based upon an understanding with the University administration, according to the University's policies (e.g., Compensated Outside Services, Conflict of Interest).
3. A faculty member should maintain a high level of personal integrity and professional competence, as demonstrated in teaching, research, and service. Academic freedom

does not exempt a faculty member from an evaluation by colleagues and administration of his or her qualifications for continued membership in their society.

4. Although faculty are free in the classroom to discuss subjects within areas of their competence, faculty shall be cautious in expressing personal views in the classroom and shall be careful not to introduce controversial matters that have no relationship to the subject taught, and especially matters in which they have no special competence or training and in which, therefore, faculty's views cannot claim the authority accorded statements they make about subjects within areas of their competence; provided, that no faculty will face adverse employment action for classroom speech, unless it is not reasonably germane to the subject matter of the class as broadly construed, and comprises a substantial portion of classroom instruction.
5. A faculty member should recognize that the right of academic freedom is enjoyed by all members of the academic community. He or she should be prepared at all times to support actively the right of the individual to freedom of research and communication as defined herein.
6. In addition to the normal responsibilities of a citizen of the state and nation, including the duty to uphold their Constitutions and obey their laws, a faculty member also should conduct himself or herself professionally with colleagues. He or she should strive to maintain the mutual respect and confidence of his or her colleagues. He or she should endeavor to understand the customs, traditions, and usages of the academic community.
7. When, as a citizen, a faculty member speaks outside the classroom or writes for publication, he or she should be free, as a citizen, to express his or her opinions. Each faculty member should conduct himself or herself professionally, should be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make clear that he or she speaks for himself or herself and not for the University.
8. This policy is intended to be consistent with the Board of Trustees Policy on Student and Faculty Speech, and shall be interpreted accordingly.

## Article II. Academic Freedom and Responsibility of the University Administration

1. The University is committed to recruiting, appointing, retaining, and promoting faculty members by processes which are thorough, thoughtful, equitable, and in which the professional judgments of faculty members are of major importance.
2. Administrative officers should actively foster within the University a climate favorable to freedom of teaching and research. In its pursuit of excellence, the University should reward its outstanding faculty members.
3. The administration is responsible for enforcing all Board and campus policies applicable to faculty members. It is the duty of the administration –beginning with department heads, deans, and chief academic officers –to remove from the faculty any faculty member who has been found, through proper procedures, seriously derelict in his or her responsibilities as a member of the academic community.

The Board requires that each campus and its constituent academic units develop appropriate policies and procedures necessary to implement the Board's tenure policy.

## Article III. Tenure

### A. Definition of Tenure

Tenure is a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for Adequate Cause, financial exigency, or academic program discontinuance. The burden of proof that tenure should be awarded rests with the faculty member. The grant of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to the University, except in the case of relinquishment or forfeiture of tenure.

### B. Authority to Grant Tenure

Tenure is acquired only by positive action of either the President or the Board of Trustees, based on the circumstances under which tenure is sought, and is granted in a particular academic unit (department, school, or college) of a campus.

1. The Board of Trustees makes the decision whether to grant tenure, based upon the recommendation of the President, to
  - a. All University Officers as defined in bylaws adopted by the Board of Trustees;
  - b. Any faculty member who is to be granted tenure upon initial appointment without serving a probationary period at a University campus; and
  - c. Any faculty member to be tenured after serving less than a six-year probationary period, but not including a faculty member who has been employed by the University in a tenure-track position for six years and whose probationary period has been suspended for one or more year(s) in connection with a leave of absence or modified duties assignment under Section III.E.3 [of BT0006].

. . .

2. The President makes the decision whether to grant tenure, based upon the recommendation of the Chancellor, in all other cases.

The President or Board of Trustees (as applicable according to this policy) may grant tenure at Any time during a given year, after confirming that all tenure review and recommendation procedures in Appendix A [of BT0006] have been followed.

### C. Eligibility for Tenure Consideration

Eligibility for tenure consideration shall be subject to the following minimum standards:

1. Regular, full-time, tenure-track faculty appointments at the academic rank of instructor, assistant professor, associate professor, or professor are eligible for tenure consideration;
2. Temporary, term, and part-time appointments are not eligible for tenure consideration, except that in the extraordinary circumstances defined in Appendix D [of BT0006], faculty members who do not have a full-time appointment may be eligible for tenure consideration.

Each campus may establish additional eligibility requirements for tenure consideration. Campus eligibility requirements for tenure consideration shall be effective upon approval by the Board of Trustees and shall be published in the campus faculty handbook.

Eligibility requirements for tenure consideration specific to UT Southern and the procedures for requesting tenure consideration are detailed in section 5.2 of this handbook.

## **4.2 Faculty Rights of Appeal**

The following general and special procedures are provided to give faculty members an opportunity to seek resolution of complaints about decisions affecting their employment as faculty members. Faculty members should make reasonable efforts to resolve issues informally before using these procedures. Unless specified otherwise, the procedures outlined in this section must be initiated within 30 days of the date of the employment decision in question, or before termination of employment, whichever occurs first.

### General Appeals

Faculty members with grievances have three options for pursuing appeals, depending on the subject matter(s) of their appeal. They may (1) initiate an appeal through administrative channels, (2) request an appeal through the Faculty Appeals Committee, or (3) bring an appeal through the Tennessee Uniform Administrative Procedures Act. Each of these options is addressed in the following sections.

The appeals procedures through administrative channels and the Faculty Appeals Committee are formal but not judicial processes.

### Special Appeals

Special procedures are provided for cases involving (1) allegations of discrimination or harassment due to race, sex, religion, national origin, age, handicap, or veteran status, (2) termination or suspension of a tenure-track faculty member for adequate cause prior to the expiration of his or her term of appointment, (3) termination or suspension of a tenure-track faculty member without the minimum advance notice specified for non-reappointment of the tenure-track faculty, or (4) allegations that the non-renewal of appointment of a tenure-track faculty member constitutes a violation of academic freedom.

1. **Appeal Procedures for Complaints of Discrimination:** Allegations of discrimination on the basis of race, sex, national origin, religion, age, disability, veteran status, or other basis prohibited by University Policy must be brought forward and investigated in accordance with procedures outlined in the UT Southern Employee Handbook.
2. **Appeal Procedures for Alleged Violations of Academic Freedom:** When a decision not to reappoint a non-tenured faculty member is appealed as an alleged violation of academic freedom, the appeal shall be made directly to the Faculty Appeals Committee and shall be heard in accordance with the procedures outlined below.

#### **4.2.1 Appeals through Administrative Channels**

To initiate a grievance through administrative channels, the faculty member must write a

letter to the official at the first administrative level where a contested recommendation or decision was made. The letter should (a) notify the administrator that a grievance is being made, (b) outline the nature of the grievance, and (c) state the desired action. The administrative channels through which a grievance may progress include: School Chair or the academic unit head; Provost and Vice Chancellor for Academic Affairs; and Chancellor. At each level, the administrator ideally should inform the faculty member of his/her decision in writing within thirty days. If the grievance is not resolved at the first administrative level where a negative recommendation or decision was made, the faculty member may pursue the grievance through each succeeding level of administration. Upon receipt of a negative decision by an administrator at one level, the faculty member will have thirty days to initiate an appeal to the next level.

When a faculty member who has initiated a grievance through administrative channels receives a negative decision by the Provost and Vice Chancellor for Academic Affairs, the faculty member may appeal the Vice Chancellor's decision to the Chancellor directly or request review by the Faculty Appeals Committee prior to the Chancellor's review. The Vice Chancellor's decision shall include notice to the faculty member of his/her right to request review by the Faculty Appeals Committee. The faculty member will have thirty days from receipt of the Vice Chancellor's decision to request a Faculty Appeals Committee review.

#### **4.2.1.1 Appeal Procedures for Non-Reappointment of Probationary Faculty Member**

A decision not to reappoint a probationary faculty member may be appealed to a committee consisting of the faculty member's Program Coordinator and School Chair and the Provost and Vice Chancellor for Academic Affairs. After receiving any material the faculty member chooses to present, the committee will recommend to the Chancellor whether the initial recommendation should be supported or reversed.

#### **4.2.2 Appeals through the Faculty Appeals Committee**

To initiate an appeal through the Faculty Appeals Committee, the faculty member must submit a letter to the chair of the committee and provide a copy to the Provost and Vice Chancellor for Academic Affairs. The letter should (a) indicate that an appeal is being made, (b) outline the nature of the appeal, and (c) state the desired action. The chair of the Faculty Appeals Committee in consultation with committee members and the Chancellor will determine if the faculty member's complaint both lies within the scope of the Committee's jurisdiction and merits consideration. If so, the chair will initiate a complete review of the matter.

##### **A. Authority of the Faculty Appeals Committee**

For matters which lie within the scope of the Committee's jurisdiction, the Committee will consider only whether or not personnel decisions were made according to University policies, procedures, and regulations. The scope of the Committee's jurisdiction with respect to promotion and tenure decisions is limited to a review of complaints that applicable procedures were not followed. Members of the Faculty



Appeals Committee shall hold all information in confidence except when required by law to make disclosure.

The Faculty Appeals Committee will not accept for review matters that by policy are required to be reviewed by other bodies, such as matters involving

1. allegations of discrimination in violation of university policy or procedure (see Special Appeals above);
2. non-reappointment of probationary faculty members (see Section 4.2.1.1 of this handbook);
3. termination of temporary or probationary faculty before the stipulated term of appointment (see Section 2.4.2.2 of this handbook);
4. termination for unsatisfactory performance in teaching, research, or service (see BT0006, Appendix B); or
5. termination for misconduct (see BT0006, Appendix C).

## **B. Process for Appeals**

When an appeal lies within the scope of the Faculty Appeals Committee (FAC), the following steps will be implemented:

1. The FAC will serve as the Hearing Committee. Each party involved in the appeal shall have the right to exclude one potential member without being required to show cause for such exclusion. The chair of the FAC shall serve as chair of the Hearing Committee. In appeals where the FAC chair is excluded, the FAC will elect a chair of the Hearing Committee.
2. The Hearing Committee will receive evidence, hear witnesses, and/or take written statements. Each party may specify a UT Southern colleague to be a nonvoting observer of the proceedings.
3. Judicial rules of procedure and evidence shall not be required. However, any individual making a presentation to the Hearing Committee may obtain the assistance of an advisor or legal counsel. If legal representation is desired, the faculty member must notify the Hearing Committee at least ten days before any hearings that may be scheduled so that the University may also schedule the presence of legal counsel. The University will be obliged to notify the individual in the same way. If this notification comes later than ten days before a hearing, postponements may be granted by the Hearing Committee so that those who desire counsel may have counsel present. Participation of legal counsel shall be limited to advising their clients and shall not include examination of witnesses or oral argument.
4. The Hearing Committee will ensure that all appropriate parties are notified of its review and given an opportunity to present to the committee evidence deemed appropriate. Any objection to the review procedures or composition of the Hearing Committee must be made in writing to the chair of the Hearing Committee. The committee shall review all objections, and its decision will be final.

## **C. Hearing Results and Recommendations**

1. After due consideration by the Hearing Committee, its recommendations based on majority vote shall be detailed in writing to the Chancellor and to the parties involved in the appeal.
2. Prior to reaching a final decision, the Chancellor has the option of asking the Hearing Committee to reconsider specific issues of fact. The written decision of the Chancellor shall be forwarded to the chair of the Hearing Committee and to the parties involved in the appeal. If the Chancellor does not accept all or part of the findings and recommendations of the Hearing Committee, he/she will include in the decision the reasons for not doing so.

#### **4.2.3 Appeals through the Tennessee Uniform Administrative Procedures Act**

A hearing under the Tennessee Uniform Administrative Procedures Act (TUAPA) is available to tenure-track and non-tenure-track faculty members under certain circumstances. Unless otherwise stated in a University policy or by statute, requests for a TUAPA hearing must be brought within 10 days of the employment action that is the subject of the hearing.

### **4.3 Compensated Outside Services**

Full-time faculty members appointed to The University of Tennessee agree to devote themselves to UT's mission of teaching, research, and public service. Fulfillment of these responsibilities demands a full-time, 100% commitment to normal University duties, including remaining current in the discipline to which the faculty member is appointed. For many faculty members, an important part of keeping up-to-date lies outside the classroom, laboratory, and library: it involves testing one's academic skills and abilities by applying them to real-world problems. The University encourages the faculty to engage in consulting and other related outside services that are associated with an individual faculty member's appointment and that develop his/her professional expertise. By these means, many faculty members improve their disciplinary skills; they serve educational institutions and professional organizations, business, industry, and government; and they bring positive recognition to the University.

#### General Principles

University policy establishes procedures to ensure that professional development of the faculty is encouraged and, at the same time, ensure that faculty meet their regular University responsibilities in a timely and effective manner.

1. Full-time faculty members appointed to The University of Tennessee must devote themselves to the University's mission of teaching, research, and public service. Fulfillment of these responsibilities demands a full-time commitment to normal University duties, including remaining current in the discipline to which the faculty member is appointed.
2. While compensated outside activities may be valuable for both faculty and the University, the primary responsibility of a faculty member is to fulfill the teaching, research /scholarship

/creative achievement, and service commitments of her/his full-time appointment to the University. Faculty members have a responsibility not to undertake external activities that substantially burden or interfere with commitments to the University. A full-time appointment includes an obligation to maintain a meaningful presence on behalf of the University in the performance of responsibilities. This obligation means being accessible on campus to students, staff, and colleagues. Compensated outside activities must not result in a conflict of interest or a conflict of commitment with respect to the faculty member's University duties.

3. As outside compensated activities are not part of the full-time commitments of a faculty member, they cannot be substituted for commitments of a faculty member to teaching, research/scholarship/creative activity, and service within the University. Correspondingly, the annual review of the performance of a faculty member is based only on her/his regular responsibilities and duties as part of her/his full-time commitments to the University, which are negotiated annually and must be consistent with the Handbook and applicable bylaws. The primary responsibility for assessing the value of compensated outside activities rests in the academic departments and their bylaws.

4. School and/or departmental bylaws may define the nature and allowable time commitments of appropriate compensated outside activities for a faculty member in the unit beyond this policy. Administrative officers such as chairs or program coordinators who believe that a faculty member has engaged in compensated outside activities in a manner inconsistent with this policy or applicable bylaws may initiate appropriate action. In such cases, a faculty member has the right to the appeals processes described in the Faculty Handbook.

5. This policy primarily concerns long-term or continuing/recurring short-term arrangements between faculty members and clients. This policy does not apply to activities such as:

- Occasional, short-term activities (which are typically not compensated except for modest honoraria), which include but are not limited to, publication and/or editing of research/scholarship/creative activity, participation in symposia, accreditation visits, research paper presentations, professional licensing board examination questions, exhibitions, recitals, or extra-service pay.
- Compensated activities conducted in the summer by faculty who serve in an academic-year appointment.
- Faculty compensation through grants and contracts. (See UT Policies on Sponsored Projects, FI0205 through FI0235.)

6. These guidelines shall be construed to be consistent with the University's policies regarding conflict of interest, ownership of commercial ventures, intellectual property, and Faculty Handbook provisions regarding academic freedom.

## Policy Requirements

1. During the conduct of compensated outside activities, faculty members must not make any use of the name of The University of Tennessee or of any of its constituent institutions (e.g., campuses or institutes) for any purpose other than professional identification; nor may she/he claim any University or institutional responsibility for the conduct or outcome of such activities.

2. Should a faculty member wish to pursue compensated outside activities, the faculty member and her/his school chair must agree about the faculty development benefits that will be gained by the planned activities, as part of the annual review process. If after the review, a faculty member has an opportunity to pursue a new compensated outside activity or if any significant changes to an agreed plan from the last annual review occur, the faculty member must report the situation to her/his school chair, and develop a new or revised plan with the chair's concurrence.

3. Nine-month faculty members are expected to perform university-related activities for a nine-month academic year. Thus, nine-month faculty members should limit their total compensated outside services to no more than twenty percent (20%) over their total (100%) university effort during a given academic year, exclusive of non-academic year course schedules (summer session, mini-term, etc.) but including grants of released-time. The school chair and chief academic officer may restrict compensated outside service effort to less than 20% (e.g., if a faculty member's performance of assigned university duties does not meet expectations, as found in the annual evaluation).

4. Nine-month faculty employed full-time on the university payroll during the summer months (e.g. summer school teaching, work on grants and contracts), must ensure that their annual compensated outside service activity is no more than 20% over their total (100%) university effort per academic year. For part-time summer employment, the limit of compensated outside services during the time of employment will be established by written agreement between the school chair and the faculty member.

5. Twelve-month faculty and staff members are expected to perform university-related activities for a twelve-month year. Thus faculty members on twelve-month appointment are covered by the same University of Tennessee Personnel Policies and Procedures that apply to administrative or professional personnel of the university. However, to provide equitable treatment of nine-month and twelve-month faculty, the latter should normally limit their aggregated compensated outside services to no more than an additional twenty percent (20%) over their total (100%) university effort – including accrued annual leave taken and grants of released time – during a given calendar year, upon approval of the department head and school chair. The school chair and chief academic officer may restrict a faculty member's compensated outside service effort to less than 20% (e.g., if a faculty member's performance of assigned university duties does not meet expectations, as found in the annual evaluation).

6. While conducting compensated outside activities, no unauthorized activity is permitted involving significant direct expense to UT or significant use of university facilities, equipment, or services unless procedures and fee schedules have been established. Faculty and staff wishing to use University resources to conduct compensated outside activities must have an official written UT agreement specifying the nature of work to be performed; the kind of equipment, supplies, material, or services to be used; the extent of the use; and the amount to be paid to the University. The amount may not be less than the University's cost or a fair market value. A written agreement must be approved in advance by the appropriate school chair, chief academic officer, and chief business officer.

7. Noncompliance with this policy for compensated outside activities may be considered as a negative factor during annual reviews, promotion and tenure decisions, salary determinations, and requests for released-time, and other institutional support (e.g., a faculty member's compensated outside activities may be limited if his/her performance of assigned activities is less-than-meets-expectations). Serious and/or continuing noncompliance also may result in other sanctions (e.g., reduction in allowable compensated outside activities, salary reduction, restitution for cost of equipment, termination for adequate cause).

8. The Office of the Provost and Vice Chancellor for Academic Affairs will provide school chairs with a template form to be used in conducting the discussion and agreement regarding outside compensated service described in Policy Requirement 2 above.

#### **4.4 Sabbatical Leave**

Tenured faculty members may apply for a sabbatical leave that affords them the opportunity to improve their teaching techniques and/or to deepen their expertise in the teaching discipline.

Tenured faculty members may take up to one year of sabbatical leave. The sabbatical policy provides for an individual to retain tenure and to receive institutionally paid medical benefits for him- or herself for one year and tuition payments up to \$2,500 for one year.

To be considered for sabbatical leave, the faculty member must have completed at least one full year as a tenured faculty member and must apply to the Provost and Vice Chancellor for Academic Affairs no later than September 20 of the year prior to that of the proposed sabbatical.

Applications will be considered by an ad hoc committee composed of the Chancellor, the Provost and Vice Chancellor for Academic Affairs, the Business Manager, and a School Chair selected by the Provost and Vice Chancellor for Academic Affairs.

## **V. ADVANCEMENTS IN RANK AND AWARDING OF TENURE**

### **5.1 Faculty Rank**

All faculty appointments in the University carry one of four faculty ranks: instructor, assistant professor, associate professor, or professor. In addition, a faculty member may be awarded graduate faculty status, and a retired faculty member may be awarded emeritus status. The following criteria must be met either for initial appointment to or for promotion to each rank. In addition to the minimum requirements listed below, all promotions in rank are based upon teaching performance, professional accomplishments, continuing efforts to improve knowledge and teaching and advising skills, and service to the University as described in section 5.2 of this handbook.

#### **5.1.1 Instructor**

For faculty teaching college-level courses, the rank of Instructor requires at least either (a) a master's degree in the teaching discipline or (b) a master's degree with at least 18 semester hours of graduate work in the teaching discipline. For faculty teaching developmental courses that do not count toward graduation requirements, the rank requires at least a baccalaureate degree in the teaching discipline.

#### **5.1.2 Assistant Professor**

The rank of assistant professor requires possession of the terminal degree appropriate to the teaching discipline. One hired for a Regular Faculty appointment before receiving a terminal degree and at the rank of Instructor will, upon completion of the terminal degree, be immediately eligible for promotion to assistant professor. In addition to the doctorate (Ph.D., Ed.D. and other generally recognized doctoral degrees), the University recognizes the following degrees as terminal degrees in specific fields: Master of Fine Arts, Master of Social Work, Juris Doctorate, Master of Library Science degree along with a second master's degree, and a Master of Business Administration degree with Certified Public Accountant certification that is maintained by continuous education.

#### **5.1.3 Associate Professor**

The rank of associate professor requires both (a) possession of the terminal degree appropriate to the teaching discipline and (b) at least five years of continuous employment as an assistant professor. See section 5.1.2 in this handbook for a description of terminal degrees.

#### **5.1.4 Professor**

The rank of professor requires both (a) possession (for at least two years) of the terminal degree appropriate to the teaching discipline and (b) at least five years of continuous employment as an associate professor. See section 5.1.2 in this handbook for a description of terminal degrees.

#### **5.1.5 Graduate Faculty Status**

Graduate Faculty status may be awarded to a Regular Faculty member who possesses a terminal degree appropriate to the teaching discipline; professional licensure or certification, if applicable; and the written endorsement of the relevant School Chair, director of the relevant graduate program, and

Provost and Vice Chancellor for Academic Affairs, in consultation with the full-time terminally-degreed faculty members in the discipline. Adjunct faculty who meet these criteria may be awarded Adjunct Graduate Faculty status. In addition, the full-time Graduate Faculty must demonstrate scholarly competence in the discipline. See section 5.1.2 of this handbook for a description of terminal degrees.

### **5.1.6 Emeritus Status**

Retiring faculty may be awarded emeritus status under the provisions of UT Policy HR0102, which is accessible [here](#).

Exceptions to the above requirements may include special certificates and/or work experience that uniquely qualifies an individual to teach a particular subject or in a particular discipline. In such instances a written justification will be developed and placed in the individual's permanent file.

The above criteria are subject to any standards set by the Commission on Colleges of the Southern Association of Colleges and Schools and to any standards set by the UT Board of Trustees.

It shall remain the prerogative of the Chancellor/Provost and Vice Chancellor for Academic Affairs to hire needed personnel and waive the listed criteria.

## **5.2 Policies on Advancement in Rank and Tenure**

Academic rank and tenure are essential for maintaining a well-qualified and dedicated faculty. Therefore the University of Tennessee and UT Southern have established the following policies governing the awarding of advancement in academic rank and tenure. Only Regular Faculty members and Librarians (as described in section 2.2.1 of this handbook) are eligible to be considered for advancement in rank and only Regular Faculty members are eligible to be considered for tenure. For a definition of tenure, see section 4.1 of this handbook.

### **5.2.1 Board Criteria for the Awarding of Tenure**

UT Policy BT0006 (III) states:

F. Tenure is granted after a thorough review which culminates in the University acknowledging a reasonable presumption of the faculty member's professional excellence, and the likelihood that excellence will contribute substantially over a considerable period of time to the mission and anticipated needs of the academic unit in which tenure is granted. Professional excellence is reflected in the faculty member's teaching, research, and service including the faculty member's ability to interact appropriately with colleagues and students. The relative weights of these factors will vary according to the fit between the faculty member and the mission of the academic unit in which he or she is appointed.

Each campus may establish more-specific criteria for tenure that are consistent with the criteria stated in this policy but may be more restrictive. Campus criteria for tenure shall be effective upon approval by the President (or designee) and the General Counsel and shall be published in the campus faculty handbook.

Each college may establish more-specific criteria for tenure that are consistent with, but may be more restrictive than, the criteria stated in this policy and any more-specific campus criteria. College criteria for tenure shall be effective upon approval by the chief academic officer and shall be published in college bylaws.

Each department shall establish more-specific criteria for tenure in that unit that are consistent with the criteria stated in this policy and any criteria established by the college and campus but may be more restrictive. Departmental criteria for tenure shall be effective upon approval by the dean and chief academic officer and shall be published in the bylaws of the department. Departmental criteria for tenure shall not be required, however, if more-specific criteria have been established by the applicable college, and the dean and chief academic officer have approved application of the college criteria in lieu of departmental criteria.

G. Each campus shall establish procedures for considering a faculty member for tenure that are consistent with the minimum components stated in [BT0006] Appendix A. Campus procedures shall be effective upon approval by the Board of Trustees and shall be published in the campus faculty handbook.

H. Tenure at the University of Tennessee is granted in a particular academic unit (department, school, or college) of a specific campus, in a position appropriate to the faculty member's qualifications. Reorganizations that result in the merger or splitting of department do not affect the tenure or probationary states of the faculty involved.

If a tenured faculty member voluntarily transfers from one UT campus to another, his or her tenured status is not transferred. However, a review by the responsible administrators in consultation with the tenured faculty of the receiving department may result in an immediate recommendation to the President that tenure at the new campus be granted to the transferred individual; on the other hand, a new probationary period in the receiving unit may be established. There shall be no involuntary transfer of faculty members between campuses.

Transfers of tenure between departments on the same campus do not require the president's approval, but must be approved by the responsible campus administrators in consultation with the tenured faculty of the receiving unit, with notice to the President. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted, in writing, by the transferring faculty member. If a non-tenured faculty member transfers from one existing department to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented and accepted, in writing, by the transferring faculty member.

If a tenured faculty member accepts a part-time faculty position or an administrative position with the University, neither of which can carry tenure, the faculty member retains tenure in the full-time faculty position he or she vacated.

### **5.2.2 Additional UT Southern Criteria for Determining Advancement in Academic Rank and the Awarding of Tenure**



Criteria for determining academic rank and tenure include appropriate credentials, length of service, excellence in teaching or librarianship, appropriate accomplishments in scholarship and professional development, and effective involvement in university and community service. The first two of these items, credentials and length of service, are detailed in section 5.1 of this handbook. The other three criteria are detailed below.

Regular Faculty on probationary status shall apply for tenure during the term indicated in the probationary appointment document. Regular Faculty and Librarians may apply for promotion at such time as they have the appropriate credentials, have served the appropriate length of time, and believe they can demonstrate achievement of the other three criteria. The procedures for applying for tenure or promotion are detailed in section 5.2.3 of this handbook.

### Teaching, Scholarship and Professional Development, and Service

Teaching, scholarship and professional development, and service are all integral parts of the academic profession. Candidates applying for promotion or tenure will be expected to demonstrate that they have met or exceeded the University's expectations in each of these three areas.

Teaching includes the four components of academic program planning and development, instruction, evaluation, and student academic mentoring (advisement). Effective teaching involves:

- Mastery of one's subject matter combined with the ability to convey knowledge and skills to students in a creative and cogent manner.
- The ability to stimulate students' intellectual development. Effective teaching should foster in students the processes of critical thinking and/or creativity, clarity of expression, mastery of subject matter, and enthusiasm for learning.
- The ability to practice diversity in teaching methods and styles, which may vary with the subject matter and the level at which one is teaching. Other kinds of interaction with students such as independent study or research and departmental seminars or performances are also important.

Scholarly activity is recognized to include original research, scholarship, and creative endeavors. Candidates for tenure and/or promotion and Graduate Faculty are expected to demonstrate scholarly competence in their subject matter area and to pursue professional development activities, such as participation in formal coursework, seminars, workshops, and other specialized training programs related to updating and extending one's knowledge within one's academic field, enhancing teaching effectiveness, and adding new areas of expertise to the existing programs of the University.

Meaningful service activities include service to the institution, service to the profession, and service to the community. Institutional service through serving on University standing or ad hoc committees and participating in special activities and events is an expectation of all faculty members. Professional and community service are encouraged, and faculty efforts in these areas are supported as much as possible by the University.

### **5.2.3 Procedures for Applying for Tenure or Promotion**

Applications for promotion and/or tenure follow a strict timeline and involve multiple steps, as detailed below. Before applying for promotion and/or tenure status, candidates must be confirmed as eligible to apply by the Provost and Vice Chancellor for Academic Affairs. Candidates for tenure or promotion must meet all published submission deadlines. No late applications will be considered by the Promotion and Tenure Committee.

For consistency and accuracy in the review process, candidates must submit a standard application portfolio. This portfolio will guide and inform each stage of the review process. The portfolio should be a complete, accurate, cumulative, and concise portrait of the candidate's professional growth and accomplishments that will demonstrate the candidate's achievement of the University's performance expectations. Candidates should consult the appropriate school chair and the Provost and Vice Chancellor for Academic Affairs for advice regarding the preparation of the portfolio.

Each application portfolio should include an introductory section containing a current curriculum vitae, letters of recommendation (see section 5.2.3.1), a peer/supervisor review of instruction (see section 5.2.3.2), and a statement of teaching philosophy. Three sections follow that will demonstrate the candidate's achievement of the university's expectations for teaching effectiveness, for scholarship and continued professional development, and for service beyond teaching and mentoring. A concluding section will contain annual performance-and-planning reviews, annual evaluations by the school chair and provost, copies of student evaluations of instruction, and course syllabi. At the discretion of the candidate, other materials may be included that help to demonstrate the candidate's achievement of the university's performance expectations.

Candidates, to repeat, should consult the appropriate school chair and the Provost and Vice Chancellor for Academic Affairs for guidance regarding the formatting, organization, contents, and presentation of the application portfolio. Candidates are advised to consult Appendix G of this handbook as well.

The requirements for the application portfolio are the same for both tenure applications and promotion applications. However, the application procedures vary somewhat. The two application procedures and timelines follow.

#### **5.2.3.1 External Review Letter**

All tenure or promotion application portfolios must include at least one external review letter. The external reviewer should be qualified to evaluate the applicant's scholarship. Well in advance of the submission of the portfolio, 12 months is recommended, the candidate will prepare for the school chair a list of potential external reviewers, along with a brief description of each potential reviewer's qualifications. The school chair may suggest additional potential reviewers. The school chair will then request the letter directly from a reviewer agreed upon by both the chair and the applicant. If the applicant and candidate are unable to agree upon a reviewer, the Provost and Vice Chancellor for Academic Affairs will choose one from among the identified potential reviewers. The

letter should give an evaluation of the candidate's scholarship and should be requested early enough to be included in the candidate's application portfolio.

### **5.2.3.2 Peer Review of Teaching**

All tenure or promotion application portfolios must include at least one formal review of the applicant's teaching performance. The review should be conducted by the applicant's school chair or the chair's designee, and it should be conducted during the academic year prior to the submission of the portfolio.

### **5.2.3.3 Procedures for Applying for Tenure**

#### **Step 1—Solicitation of External Review Letter**

See section 5.2.3.1 above.

#### **Step 2—Consideration by Tenured School Faculty**

UT policy requires formal consultation with the tenured faculty of the school in which the candidate seeks tenure. By August 20, therefore, the candidate will make his or her application portfolio available for review by the tenured faculty of the School in which the candidate seeks tenure. The tenured School faculty will meet to discuss the tenure candidacy and will then submit by October 1 a written report to the School Chair. The report will include the manner of taking and recording a formal anonymously cast vote of the tenured faculty on whether the candidate should be recommended for tenure. A simple majority of the tenured faculty will constitute a positive recommendation. The report of the tenured faculty is advisory to the School Chair.

#### **Step 3—Consideration by the School Chair**

The School Chair, after receiving the advisory report from the tenured faculty and making an independent judgment on the tenure candidacy, will submit his or her own report to the Provost and Vice Chancellor for Academic Affairs with a written summary explanation of his or her judgment, with a copy provided to the tenure candidate and to the Promotion and Tenure Committee at the same time. If the Chair's recommendation differs from the recommendation of the tenured faculty, the summary must explain the reasons for the differing judgment, and the Chair must provide a copy of the summary to the tenured faculty. The tenured faculty may forward a dissenting report to the Provost and Vice Chancellor for Academic Affairs.

#### **Step 4—Consideration by the Promotion and Tenure Committee**

The candidate's application portfolio, along with the School Chair's report, will be made available to the Promotion and Tenure Committee no later than December 1. The Committee will meet to discuss the tenure candidacy and will then submit by January 15 its written recommendation to the Provost and Vice Chancellor for Academic Affairs. The Committee's recommendation is advisory to the Provost and Vice Chancellor for

Academic Affairs.

#### Step 5—Consideration by the Provost and Vice Chancellor for Academic Affairs

The Provost and Vice Chancellor for Academic Affairs will make his or her independent judgement of the tenure candidacy and will then forward his or her recommendation and summary explanation for the recommendation to the Chancellor, with a copy provided to the tenure candidate at the same time.

#### Step 6—Chancellor’s Recommendation

All tenure recommendations from the Provost and Vice Chancellor for Academic Affairs, whether positive or negative, will be reviewed by the Chancellor. After making his or her own independent judgment on the tenure candidacy, the Chancellor will forward only positive recommendations, with a summary explanation for the recommendation, to the President, with a copy provided to the tenure candidate at the same time.

#### Step 7—President’s Action or Recommendation

The President acts only on the Chancellor’s positive recommendation for tenure. If the President concurs in the positive recommendation, he or she will grant tenure if he or she is authorized to do so, and the Chancellor will give the faculty member written notice of the effective date of tenure. If only the Board of Trustees is authorized to grant tenure, the President will submit the recommendation to grant tenure, and summary explanation for the recommendation, to the Board of Trustees. If the President does not concur in the positive recommendation of the Chancellor, the Chancellor will give the faculty member written notice that tenure will not be awarded.

#### Step 8—Action by the Board of Trustees when Required

Only the Board of Trustees is authorized to grant tenure in certain cases specified in UT Policy BT0006, III.B. In those cases, the Board of Trustees acts only on the President’s positive recommendation for tenure. After positive action by the Board of Trustees to grant tenure, the President will give the faculty member written notice of the effective date of tenure.

### **5.2.3.4 Procedures for Applying for Promotion**

#### Step 1—Solicitation of External Review Letter

See section 5.2.3.1 above.

#### Step 2—Consideration by the School Chair

By October 1 the candidate will make his or her application portfolio available for review by the School Chair. The School Chair will make an independent judgment on the promotion candidacy and will by December 1 submit his or her summary

recommendation to the Promotion and Tenure Committee. The report of the School Chair is advisory to the Promotion and Tenure Committee.

#### Step 3—Consideration by the Promotion and Tenure Committee

The candidate' application portfolio, along with the School Chair's report, will be made available to the Promotion and Tenure Committee no later than December 1. After review of the portfolio and the School Chair's report, the Committee will meet to discuss and vote on the promotion candidacy. A simple majority will constitute a positive recommendation. The Committee will then submit by January 15 its written recommendation to the Provost and Vice Chancellor for Academic Affairs. The Committee's recommendation is advisory to the Provost and Vice Chancellor for Academic Affairs.

#### Step 4—Consideration by the Provost and Vice Chancellor for Academic Affairs

The Provost and Vice Chancellor for Academic Affairs will make his or her independent judgement of the promotion candidacy and will then forward his or her recommendation and summary explanation for the recommendation to the Chancellor.

#### Step 5—Chancellor's Decision

All promotion recommendations from the Provost and Vice Chancellor for Academic Affairs, whether positive or negative, will be reviewed by the Chancellor. After making his or her own independent judgment on the promotion candidacy, the Chancellor will give the faculty member written notice of the decision.

## VI. FACULTY EVALUATION

All faculty members, both full-time and part-time, both tenured and untenured, undergo regular evaluation to ensure that they meet or exceed the University's performance expectations.

NOTE: The procedures for appealing a faculty evaluation are explained in section 6.2.1 of this handbook.

### 6.1 Evaluation of Non-Tenured Full-Time Faculty

Non-tenured full-time teaching faculty (Regular, Temporary, and Instructor) undergo annual review. In addition to such annual review, regular faculty on Probationary appointments undergo Enhanced Tenure-Track Review (see section 2.3.1.2.6 of this handbook).

Teaching, scholarship and professional development, and service are all integral parts of the academic profession. Full-time faculty members are expected to demonstrate during annual reviews--as well as when being considered for promotion, tenure, or post-tenure review--that they have met or exceeded the University's expectations in each of these three areas. These expectations are described on the Annual Self-Evaluation and Faculty Development Plan form (included as Appendix B of this handbook) and in the Procedural Guidelines Regarding Teaching (included as Appendix E of this handbook).

The annual review process consists of the following elements:

- For each class taught the faculty member will administer a student evaluation of instruction.
- Each fall the faculty member will submit an Annual Self-Evaluation and Faculty Development Plan form to both the School Chair and the Provost and Vice Chancellor for Academic Affairs. (See Appendix B of this handbook.)
- In response the School Chair and Provost will prepare a Faculty Evaluation by School Chair and Provost form. (See Appendix C of this handbook.)
- The faculty member will then meet with the School Chair and Provost to review the evaluations and discuss performance.

Additionally, the review process for first-year faculty members will include a formal observation of the faculty member's teaching performance conducted by both the School Chair and the Provost and Vice Chancellor for Academic Affairs or their designees. Note: The application portfolios for both tenure and promotion should include recent formal observations of instruction conducted by the relevant School Chair or the Chair's designee. (See section 5.2.3.2 of this handbook.)

The annual review process both mirrors and dovetails with the review process for promotion, tenure, and post-tenure. The student evaluations of instruction, the Annual Self-Evaluation and Faculty Development Plan forms, and the Faculty Evaluations by School Chair and Provost forms will comprise an integral part of the faculty member's portfolio application for promotion, tenure, or post-tenure review. (See section 5.2.3 of this handbook.)

#### 6.1.1 Enhanced Tenure-Track Review (ETTR) for Probationary Appointments

According to UT Policy BT0006 (III.E.5),

For each tenure-track faculty member, the department and department head will conduct an enhanced review to assess and inform the faculty member of his or her progress toward the grant of tenure during the third or fourth year of the probationary period, which may be extended past the fourth year of the probationary period for any faculty member who has been granted an extension of the probationary year (with the year to be determined by the department head after consultation with the faculty member and, if applicable, the faculty member's mentor).

The tenured departmental faculty will confer regarding the faculty member's performance and will then write a report to the department head that will contain a list of the participating tenured faculty members; suggestions for enhancing the faculty member's progress toward the grant of tenure; the majority and minority report, if applicable; and the summary anonymous vote on whether the faculty member is progressing satisfactorily toward the grant of tenure. The department head will present and discuss the tenured faculty's report, as well as his or her own written assessment, with the faculty member. Copies of the ETTR documents will be given to the faculty member. A favorable ETTR does not commit the tenured departmental faculty, the department, or the college to a subsequent recommendation for the grant of tenure.

Each campus shall adopt further procedures regarding the ETTR, including specifications of the required contents of the materials to be reviewed, which shall be effective upon approval by the Board of Trustees and shall be included in the campus faculty handbook. Any appeal regarding the ETTR shall follow the same procedures for an appeal of an annual performance and planning review. [See section 6.2.1 of this handbook.]

### **6.1.2 Additional UT Southern Requirements for Enhanced Tenure-Track Review (ETTR)**

This review will occur during the third or fourth year of probation for a tenure-track faculty member and for that year will replace the Annual Self-Evaluation. The review is intended to be comprehensive and should cover all of the faculty member's probationary years through the July preceding the date of review. This review reflects the criteria for the evaluation of faculty performance and for promotion and tenure detailed in section 5.2 of the Faculty Handbook. These expectations are described on the Enhanced Tenure-Track Review form (included as Appendix D of this handbook) and in the Procedural Guidelines Regarding Teaching (included as Appendix E of this handbook).

The ETTR consists of the following elements:

- The faculty member will submit the Enhanced Tenure-Track Review form and Faculty Development Plan to the School Chair no later than August 20 for distribution to the tenured faculty members in the school.
- The tenured school faculty will confer regarding the faculty member's performance and will then submit by October 1 a written report to the School Chair. The report will include a list of the participating tenured faculty members; suggestions for enhancing the faculty member's progress toward the grant of tenure;

the majority and minority report, if applicable; and the summary anonymous vote on whether the faculty member is progressing satisfactorily toward the grant of tenure.

- The School Chair will compile his or her own written assessment of the faculty member's progress and will share that assessment, along with the tenured faculty's assessment, with the faculty member. The School Chair will forward both assessments, along with his or her written summary of the meeting with the faculty member, to the Provost and Vice Chancellor for Academic Affairs.
- The Provost and Vice Chancellor for Academic Affairs and School Chair will then meet with the faculty member to review the assessments and to discuss the faculty member's progress toward the grant of tenure.

## **6.2 Evaluation of Tenured Full-Time Faculty**

According to UT Policy BT0006, the University systematically evaluates all faculty members, including tenured faculty:

The University is committed to the evaluation of all faculty members as a means of strengthening the principle of tenure. To that end, the University conducts the types of performance reviews described in this Section I. Performance reviews focus on the faculty member's contributions to the University's missions through teaching, research (including scholarly and artistic work), service, and clinical care.

Competent teaching is a crucial responsibility for faculty members, and the effective use of appropriate instructional evaluation (including departmental files of class syllabi and related materials, student, and peer evaluation, etc.) is important to all objective review processes. Faculty members with research/creative arts responsibilities should have the quantity and quality of their work fairly assessed. Each faculty member's service contributions should be evaluated impartially.

### **6.2.1 Annual Performance-and-Planning Review**

Each tenured faculty member will undergo a formal annual Performance-and-Planning Review based on the Annual Self-Evaluation and Faculty Development Plan form (included as Appendix B of this handbook) and the Procedural Guidelines Regarding Teaching (included as Appendix E of this handbook).

The annual review process consists of the following elements:

- For each class taught the faculty member will administer a student evaluation of instruction.
- Each fall the faculty member will submit an Annual Self-Evaluation and Faculty Development Plan form to both the School Chair and the Provost and Vice Chancellor for Academic Affairs. (See Appendix B of this handbook.)
- In response the School Chair and Provost will prepare a Faculty Evaluation by School Chair and Provost form. (See Appendix C of this handbook.)
- The faculty member will then meet with the School Chair and Provost to review the evaluations and discuss performance.



This annual review will be a key element in any merit pay or performance-based salary adjustments. This review employs the following four-point performance rating scale for evaluating tenured faculty members:

- Exceeds Expectations for Rank—eligible for significant merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations
- Meets Expectations for Rank –eligible for minimum merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations
- Needs Improvement for Rank –not eligible for merit pay or performance-based salary adjustment and may require an Annual Review Improvement Plan (see below), and
- Unsatisfactory for Rank –not eligible for any salary adjustment and requires an Enhanced Post-Tenure Performance Review (see below).

**Annual Review Improvement Plan:** Within 30 calendar days of the annual review, any faculty member with an overall performance rating of Needs Improvement for Rank must collaborate with the School Chair on an Annual Review Improvement Plan to be reviewed by the Chair and recommended by him/her to the Provost and Vice Chancellor for Academic Affairs for review and approval/denial. The next year’s annual review must include a progress report that clearly describes improvements in any area(s) for which improvement was required. This Annual Review Improvement Plan process is inapplicable if the faculty member’s performance rating has triggered Enhanced Post-Tenure Performance Review (see section 6.2.3 of this handbook).

**Appeal Process:** A faculty member may appeal his or her annual review rating to the Faculty Appeals Committee. The written petition must be submitted within ten business days of the date of the review. The Appeals Committee will review relevant documents and, if it wishes, interview principals.

The Appeals Committee will report its findings to the Provost and Vice Chancellor for Academic Affairs. The Appeals Committee may recommend a reconsideration. If it does so, the Provost and Vice Chancellor for Academic Affairs will submit the Committee's report, along with his or her own recommendation, to the Chancellor, who will either confirm the original evaluation or accept the proposed reconsideration. The decision of the Chancellor is final.

The faculty member will receive notification from the Chancellor or Provost and Vice Chancellor for Academic Affairs that the appeal has been approved or denied.

## **6.2.2 Periodic Post-Tenure Performance Review**

The Board of Trustees recognizes and affirms both the importance of tenure and its own fiduciary responsibility to students, parents, and all citizens of Tennessee to ensure that faculty members effectively serve the needs of students and the University throughout their careers. Accordingly, UT Policy (BT0006) calls for a comprehensive performance review of every tenured faculty member no less often than every six years. UT Southern conducts such post-tenure performance reviews according to the following procedures.

## 1. Post-Tenure Review (“PTR”) Period

Except as otherwise provided in these procedures, each tenured faculty member must undergo some form of comprehensive performance review no less often than every six years. The PTR shall not substitute for the Annual Performance and Planning Review in the year a faculty member is scheduled for PTR.

The chief academic officer shall develop an initial plan for staggering post-tenure reviews to avoid excessive administrative burden at any given time. The initial staggering plan may be revised if later developments require changes in order to avoid excessive administrative burden. The post-tenure review period begins at the granting of tenure, and, except as otherwise provided by the staggering plan, a faculty member’s PTR will occur no less often than every six years thereafter unless one of the following circumstances results in a different timetable:

- Suspension of post-tenure review period – A faculty member’s post-tenure review period is suspended during any year in which the faculty member is granted a leave of absence or a modified duties assignment.
- Restarting of post-tenure review period due to alternative comprehensive review – A comprehensive review of a faculty member’s performance restarts the faculty member’s PTR period under the following circumstances:
  - If a tenured faculty member undergoes a successful promotion review or a promotion is in progress during the year scheduled for PTR, the promotion review fulfills the PTR requirement and the PTR period is modified to require PTR six years after the promotion review.
  - If a tenured faculty member undergoes an Enhanced Post-Tenure Performance Review (EPPR) (generally triggered by annual performance review rating(s)) and is either rated as meeting expectations or successfully completes the terms of the EPPR improvement plan, the EPPR process fulfills the PTR requirement and the PTR cycle is modified to begin with the date of the EPPR committee’s report.
- Start of the PTR period upon conclusion of an administrative appointment – Full time administrators and faculty members with a majority administrative appointment (more than 50%) are not subject to PTR; faculty members holding a less than majority administrative appointment (50% or less) are subject to PTR regarding their faculty duties based on expectations consistent with their faculty duty allocation. When a full-time or majority-time administrator leaves his or her administrative position to assume a tenured faculty position, the faculty member’s initial PTR shall occur within six years after leaving the administrative post.
- A faculty member’s scheduled PTR may be waived if the faculty member submits a written and binding commitment to retire no later than one year after the year in which the PTR was scheduled.

- A faculty member's scheduled PTR may be otherwise deferred or modified only for good cause approved by the chief academic officer.

## 2. Annual Schedule for Post-Tenure Review

All post-tenure reviews will be conducted and completed according to the following schedule:

- The chief academic officer shall appoint the PTR Committee as set forth in Section IV below no later than the beginning of the academic year of review.
- The PTR Committee shall be provided with the materials required by Section V below no later than December 1.
- The PTR Committee shall submit its report required by Section VII below no later than January 30.

## 3. Appointment and Composition of Post-Tenure Review Committee

All post-tenure reviews must be conducted by a committee established for the sole purpose of post-tenure review. The PTR Committee shall include five members appointed by the chief academic officer. To ensure that no committee member has an actual or apparent conflict of interest with any faculty member under review, the chief academic officer shall if necessary appoint an alternate committee member. The composition of the PTR Committee must meet the following requirements:

- Each PTR Committee member must be a tenured full-time faculty member who is at the same or higher academic rank, and whose locus of tenure is at the same campus, as the faculty member being reviewed.
- One, and only one, PTR Committee member must hold an appointment in the same division as the faculty member being reviewed, unless there is no such faculty member eligible to serve; provided that no other PTR Committee members may hold an appointment in the same department.

The chief academic officer, working with the University of Tennessee Office of Academic Affairs and Student Success, will provide instructions, guidelines, and best practices to members of PTR Committees.

## 4. Materials to be Reviewed by Post-Tenure Review Committee

The PTR Committee must review (1) annual review materials (including the Annual Self-Evaluations, the Faculty Evaluations by School Chair and Provost, the student evaluations of instruction, and any peer evaluations of teaching) for each year since the last review; (2) the faculty member's current CV; a narrative, not to exceed two pages, prepared by the faculty member describing the faculty member's milestone achievements and accomplishments since the last review as well as goals for the next review period; and (if there has been a previous PTR) a copy of the narrative submitted as a part of the faculty member's previous PTR (each to be supplied by the faculty member); and (3) external reviews when deemed necessary by the PTR Committee or when deemed necessary by the chief academic officer.

## 5. Criteria for Post-Tenure Review

The post-tenure review process should ensure the faculty member has demonstrated continued professional growth and productivity in the areas of teaching, research (including scholarly, creative and artistic work), service, and/or clinical care pertinent to his or her faculty responsibilities. The criteria for assessing the faculty member's performance must be consistent with established expectations of the department, school, and campus and provide sufficient flexibility to consider changes in academic responsibilities and/or expectations. The expectations for faculty performance may differ by campus, school, department, and even among sub-disciplines within a department or program. Those expectations may be commonly-held standards in the discipline or sub-discipline. Those expectations may be stated explicitly in the faculty member's own past annual performance reviews, work assignments, goals or other planning tools (however identified), as well as department or school bylaws, the campus faculty handbook, this policy, and in other generally-applicable policies and procedures (for example, fiscal, human resources, safety, research, or information technology policies and procedures).

## 6. Post-Tenure Review Committee's Conclusions and Report

The PTR Committee is charged to review the faculty member's performance during the review period and to conclude whether the faculty member's performance satisfies the expectations for the faculty member's discipline and academic rank. All conclusions and recommendations shall be adopted upon the vote of a simple majority of the PTR Committee. No member of the PTR Committee may abstain or recuse himself or herself from voting. Based on the judgment of its members, the PTR Committee must conclude either:

- That the faculty member's performance satisfies the expectations for the faculty member's discipline and academic rank; or
- That the faculty member's performance does not satisfy the expectations for the faculty member's discipline and academic rank.

The committee must report its conclusions and recommendations in writing, including (1) an enumeration of the vote, (2) the supporting reasons for its conclusion, (3) a dissenting explanation for any conclusion that is not adopted unanimously, (4) an identification of any incongruences observed between the faculty member's performance and his or her annual evaluations, (5) a statement of any additional concerns identified or actions recommended, and (6) if applicable, an identification of areas of extraordinary contribution and/or performance.

The detailed PTR Committee report shall be provided to the faculty member, school chair, and chief academic officer.

Faculty members and school chairs must have the opportunity to provide a written response to the PTR Committee report. The chief academic officer shall either accept or reject the PTR Committee's determination that the faculty member's performance satisfies or does not satisfy the expectations for the faculty member's discipline and academic rank. The Chancellor shall indicate whether or not he or she concurs in the chief academic officer's determination. If the PTR Committee report is not unanimous, the chief academic officer shall provide the supporting

reasons for his or her determination. If the chief academic officer or the Chancellor does not concur in a determination, then he or she shall provide the supporting reasons for the non-concurrence. The chief academic officer's determination, the Chancellor's concurrence, and any written responses of the faculty member, and school chair will be maintained with the PTR Committee report in the chief academic officer's office and submitted electronically to the University of Tennessee Office of Academic Affairs and Student Success.

#### 7. Appeal

Within thirty days of receipt of the PTR Committee report, the faculty member may appeal any conclusion with which the faculty member disagrees. The procedure for appeal is described in Section 4.2 of this handbook, except that a final decision on the appeal shall be made within ninety (90) days of the faculty member's appeal, and the final decision of the Chancellor on an appeal shall not be appealable to the President.

#### 8. Further Actions

If the PTR Committee concludes that the faculty member's performance has not satisfied the expectations for the faculty member's discipline and rank, a PTR improvement plan must be developed using the same procedures used for the development of an EPPR improvement plan as detailed in Board Policy BT0006 Appendix E.

If the chief academic officer concludes that deficiencies exist in the departmental annual performance review process (including failure of department heads/chairs to conduct rigorous annual performance reviews) or other incongruences are observed between the PTR performance review and rankings assigned through the annual performance review process, the chief academic officer must develop a process for addressing the issues.

#### 9. Annual Report to the Board of Trustees

The chief academic officer shall prepare an annual assessment report of campus post-tenure review processes, procedures and outcomes for submission by the Chancellor to the Board of Trustees, through the President, no later than June 1 of each year. The report shall include a description of any deficiencies identified in departmental annual performance review processes and the plan for addressing the issues.

### **6.2.3 Enhanced Post-Tenure Performance Review (EPPR)**

The evaluation of tenured faculty may require an Enhanced Post-Tenure Performance Review, as described in UT Policy (BT0006, I.3):

An Enhanced Post-Tenure Performance Review (EPPR) is an expanded and in-depth performance evaluation conducted by a committee of tenured peers and administered by the chief academic officer. Procedures for conducting an EPPR are detailed in Appendix E [of BT0006].

This policy recognizes that the work of a faculty member is not neatly separated into academic or calendar years. To ensure that performance is evaluated in the context of ongoing work, the period of performance subject to enhanced review is the five most recent annual performance review cycles. Each campus administration must collect and maintain sufficient data regarding annual performance reviews to implement this policy effectively.

An Enhanced Post-Tenure Performance Review must be initiated when the chief academic officer determines that a faculty member has:

- requested an EPPR, after at least four annual performance review cycles since the last enhanced review (such as a previous EPPR or a review in connection with tenure or promotion);
- received one overall annual performance rating of “Unsatisfactory” (or the campus equivalent for the lowest performance rating); or
- received two overall annual performance ratings of “Needs Improvement” (or the campus equivalent for the next-to-lowest performance rating) during any four consecutive annual performance review cycles.

a. Administration of the EPPR by the Chief Academic Officer

The EPPR process will be administered under the direction and oversight of the chief academic officer. As with any performance evaluation, the chief academic officer may overrule a performance rating assigned by a department head or dean during the annual review process. This practice ensures that when an EPPR process is activated by one or more negative performance ratings (III.I.3. above), the chief academic officer is aware of existing concerns.

The task of administering the EPPR requires implementation of this policy and the procedures detailed in Appendix E, as well as any additional steps the chief academic officer finds necessary to comply with the policy objectives. For example, the chief academic officer may be required to adapt the implementation of this policy to satisfy legal requirements (such as limitations on disclosure of student information) or respond to unexpected events (such as replacement of a committee member who becomes unable to serve).

b. Peer Review Committee’s Charge

The peer review committee is charged to review the information relevant to the faculty member’s performance during the review period and to conclude whether or not that performance has satisfied the expectations for the faculty member’s discipline and academic rank. As detailed in Appendix E, the expectations for faculty performance may differ by campus, college, department, and even among sub-disciplines within a department or program. Those expectations may be commonly-held standards in the discipline or sub-discipline. Those expectations may be stated explicitly in the faculty member’s own past annual performance reviews, work assignments, goals or other

planning tools (however identified), as well as department or college bylaws, the campus faculty handbook, this policy, and in other generally-applicable policies and procedures (for example, fiscal, human resources, safety, research, or information technology policies and procedures). The peer review committee must reach a conclusion as to whether or not the performance has satisfied the expectations for the faculty member's discipline and academic rank. If the peer review committee concludes that the faculty member's performance has not met the expectations for the discipline and academic rank, the committee must also recommend either that an EPPR improvement plan be developed as detailed in Appendix E, or that tenure be terminated for Adequate Cause under III.J. below and Appendix B. The committee must report its conclusions and recommendations in writing, including an explanation for each conclusion or recommendation, and enumerating the anonymously cast vote and dissenting explanation for any conclusion or recommendation that is not adopted unanimously. The faculty member must have an opportunity to review and respond to the committee's report. All written conclusions, reasoning upon which they are based, and recommendations of the peer review committee must be reviewed and considered by the chief academic officer and the Chancellor.

c. Review and Action by the Chancellor

The Chancellor may accept the peer review committee's conclusions and recommendations or make different conclusions in a written explanation provided to the faculty member with copies to the chief academic officer, dean, department head, and members of the peer review committee. Based on those conclusions, the Chancellor may take further action as deemed appropriate, including (without limitation) actions described in this policy, in the applicable faculty handbook, or in any other policy and procedures generally applicable to faculty. If the Chancellor concludes (based on the recommendation of a peer review committee or based on independent review of the EPPR materials) that an EPPR improvement plan is warranted, the Chancellor will promptly direct the chief academic officer to oversee development of the plan (Appendix E).

d. Final Review and Action Following Any EPPR Improvement Plan

If an EPPR improvement plan is implemented, the peer review committee must reconvene to review performance under the plan and to decide whether or not performance under the plan satisfies the expectations for the faculty member's discipline and academic rank. The committee must report its conclusions and recommendations in writing, as described in Appendix E. The chief academic officer and the Chancellor must review all conclusions and recommendations of the peer review committee. The Chancellor may: accept the committee's conclusions and recommendations; provide a written explanation of different conclusions to the faculty member with copies to the chief academic officer, dean, department head, and members of the peer review committee; or take further action deemed appropriate, including (without limitation) actions described in this policy, in the applicable faculty handbook, or any other policy and procedures generally applicable to faculty.

#### **6.2.4 Campus Coordination of the APPR and EPPR Review Processes**

UT Policy (BT0006, III,I,4) requires each campus to coordinate the Annual Performance-and-Planning Review (APPR) process with any ongoing Enhanced Post-Tenure Reviews in such a way as to ensure that faculty members undergoing EPPR still receive an annual overall performance rating to be considered for annual salary adjustments (including across-the-board and other raises). At UT Southern the peer review committee of any faculty member undergoing Enhanced Post-Tenure Performance Review will, as necessary, recommend to the Vice Chancellor for Academic Affairs a rating using the four-point performance rating scale described in section 6.2.1 of this handbook.

#### **6.2.5 Comprehensive Performance Review Based on Findings of an Academic Program Review**

According to UT Policy (BT0006):

Based on the findings of an academic program review, the President may recommend to the Board of Trustees procedures under which the campus administration will conduct comprehensive performance reviews of tenured and non-tenured faculty in the program.

See also section 1.6 of this handbook.

### **6.3 Evaluation of Graduate Faculty**

Full-time faculty with Graduate Faculty status will undergo annual evaluation as described in sections 6.1 of this handbook (for non-tenured faculty) and 6.2 (for tenured faculty). Graduate Faculty status comes with the ongoing requirement to demonstrate scholarly competence in one's discipline. Adjunct faculty with Adjunct Graduate Faculty status will undergo annual evaluation as described in section 6.4 of this handbook, with additional review by the School Chair, the director of the graduate program, and the Provost and Vice Chancellor for Academic Affairs.

### **6.4 Evaluation of Part-Time (Adjunct) Faculty**

Part-time (adjunct) faculty members are expected to meet or exceed the University's performance expectations for teaching. These expectations are described under item 1 of the Annual Self-Evaluation and Faculty Development Plan form (Appendix B of this handbook) and in the Procedural Guidelines Regarding Teaching (Appendix E of this handbook).

The annual review process for part-time (adjunct) faculty consists of the following elements:

- For each course taught, the faculty member will administer a student evaluation of instruction.
- During the initial term, annually for recurring faculty, the program coordinator will formally observe the faculty member's teaching.
- At term's end, annually for recurring instructors, the faculty member will meet with the



program coordinator to review the student evaluations and the classroom observation and to discuss performance.