



FACULTY HANDBOOK

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INTRODUCTION

This Faculty Handbook is intended to be a general summary of university governance, policies, and guidelines specific to faculty. 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 Board of Trustees 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](#)). When official university policies and procedures are changed by the Board of Trustees or other duly constituted authority, such changes become effective on the date designated at the time of their adoption and supersede any conflicting or inconsistent provision in the Faculty Handbook. Any hyperlinks in 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. This handbook is produced by the Office of the Provost in collaboration with faculty. Questions should be addressed to the college dean, director of human resources, Provost, or Vice Chancellor for Finance & Administration.

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.

1 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 Trustees [website](#).

1.2 University of Tennessee System Administration

The University of Tennessee comprises 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 all 95 counties of Tennessee. 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.

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.

1.3 The University of Tennessee Southern Academic Administration

1.3.1 Chancellor

The Chancellor serves as the chief executive officer of the campus and is ultimately responsible for the administration and management of all university operations, subject to oversight by the University President. The Chancellor or the Chancellor's delegate represents the campus in matters before the President and the Board of Trustees and is responsible for delegating operational authority to vice chancellors and other administrators. The overarching responsibilities of the Chancellor include institutional leadership, strategic direction, and final administrative authority, ensuring that campus functions align with system-wide policies and priorities.

1.3.2 Provost & Executive Vice Chancellor for Academic Affairs & Student Experience

The Provost and Executive Vice Chancellor for Academic Affairs & Student Experience serve as the chief academic officer and is responsible for the comprehensive oversight of academic operations. This includes supervising deans, vice provosts, and other academic administrators, as well as managing academic programs, curriculum development, faculty relations, advising, and accreditation. The Provost coordinates faculty work, including hiring, scheduling, development, and evaluation, and serves as a liaison to the Faculty Senate. Additional responsibilities include oversight of institutional research, academic mentoring, learning resources, continuing education,

and system-wide academic coordination. The Provost plays a central role in strategic academic planning and ensuring institutional effectiveness.

1.3.3 Vice Provost for Academic and Faculty Affairs

The Vice Provost for Academic and Faculty Affairs serve as a senior academic administrator, supporting the Provost and overseeing faculty affairs, curriculum processes, and the implementation of academic policy. Responsibilities are delegated from the Provost and include chairing the Curriculum and Academic Policies Committee, overseeing academic program reviews, managing accreditation and compliance processes, coordinating promotion and tenure procedures, and maintaining faculty records. The Vice Provost also oversees general education, academic scheduling coordination, faculty development programs, and new academic initiatives, including online learning and program expansion. This position plays a key role in ensuring academic quality, regulatory compliance, and continuous improvement across the institution.

1.3.4 Dean

At UT Southern, deans serve as the primary academic leaders of their respective colleges. They are responsible for overseeing all aspects of academic programs, faculty supervision, and operational management within the college. Responsibilities include mentoring and evaluating faculty, making promotion and tenure recommendations, managing budgets and facilities, coordinating curriculum development, leading program assessment and evaluation, and fostering excellence in teaching, research, and service. Deans play a critical role in faculty hiring, student recruitment, enrollment growth, scheduling, and maintaining relationships with external stakeholders. They serve as a bridge between faculty and senior administration and are central to implementing institutional priorities at the college level.

1.3.5 Department Head

Department heads manage day-to-day academic operations, supervise faculty, coordinate curriculum and instruction, and ensure alignment with institutional policies. They are responsible for faculty evaluation, workload assignments, scheduling, and participation in hiring decisions. They also contribute to strategic planning, program assessment, and fostering a collaborative academic environment. Their role is both administrative and academic, serving as a key intermediary between faculty and upper administration.

1.3.6 Program Coordinator

Program Coordinators are responsible for planning, coordinating, and evaluating specific academic programs within a department or college. Their duties include developing program goals, assessing learning outcomes, leading curriculum development, and participating in program evaluation processes. They collaborate with faculty, department heads, deans, and the Provost on academic planning and faculty evaluation, including oversight of adjuncts. Program Coordinators also contribute to student mentoring, recruitment, internship oversight, alumni engagement, and external partnerships. Additionally, they assist with scheduling, hiring support, and maintaining program materials, ensuring that academic programs remain current, effective, and aligned with institutional goals.

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 of both faculty and 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 of each 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, college, 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 taken seriously by all administrative officers. The Constitution and Bylaws of the Faculty Senate, along with a list of all faculty committees, are available on the UT Southern Senate intranet site.

1.4.2 Faculty Meetings

The Faculty Senate is charged with scheduling 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. 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, bears 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 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 department 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 Vice Provost for Academic & Faculty Affairs, who chairs the Committee. All proposals should follow the template supplied by the Curriculum Proposal Form (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 department 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, the Vice Provost for Academic & Faculty Affairs, and each dean will meet with faculty to analyze results of various program evaluations conducted throughout the year to determine any weaknesses or changes necessary in the college. Faculty may also be made aware of needed changes as a result of evaluations. The faculty, the dean, and the Vice Provost for Academic & Faculty 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, dean, Vice Provost for Academic & Faculty Affairs, and Provost 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.

1.7 Faculty Appointments

1.7.1 Definition of Faculty

The faculty of the University comprises all persons whose principal responsibility at the University of Tennessee Southern is to provide or administer academic instruction or services. Faculty operate through regular meetings, an elected senate, and an array of standing committees.

1.7.2 Types of Faculty Appointments

Full-time faculty appointments are of four types: tenured and tenure-track faculty, visiting faculty, non-tenure-track faculty, and librarian. In addition, the University may hire part-time 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, as explained in section [2.1.2.1](#) (tenure-track) or section [3.2.1](#) (non-tenure-track).

1.7.2.1 Full-Time Faculty Appointments

Tenured or tenure-track Faculty. Tenured or tenure-track faculty appointments are either tenured appointments or probationary appointments and are renewable subject to the provisions described in sections [7.2](#) and [7.1](#) 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 [6.2](#) of this handbook. Tenured or tenure-track faculty members are eligible to receive benefits as provided in University policies and described by the Office of Human Resources.

Visiting Faculty. Visiting 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 visiting faculty appointment be converted to a tenure-track faculty appointment. Visiting faculty members are eligible to receive benefits as provided in University policies and described by the Office of Human Resources. One holding a visiting faculty appointment may, on an equal basis with other candidates, apply for an appropriate tenure-track faculty appointment should one become available.

Non-tenure-track. Non-tenure-track appointments are full-time assignments that are renewable subject to the provisions described in [7.1](#) 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 a non-tenure-track appointment be converted to a tenure-track faculty appointment. Non-tenure-track faculty are eligible to receive benefits as provided in University policies and described by the Office of Human Resources. One holding a non-tenure-track appointment may, on an equal basis with other candidates, apply for an appropriate tenure-track faculty appointment should one become available.

Librarian. Librarian appointments are full-time 12-month appointments that are renewable subject to the provisions described in [7.1](#) of this handbook and to any provisions in individual appointment documents. Librarians hold faculty rank and may apply for promotion as described in section [6.2](#) 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.

1.7.2.2 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 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.

1.7.3 Statement of Terms of Appointment

1.7.3.1 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, tenure-track, non-tenure-track, or visiting. The initial as well as any subsequent appointment documents during the probationary period 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 [4.1.5](#) 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 tenure review date; or changes in rank, title, or assignment—will come by letter from the Provost. 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).

1.7.3.2 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 [7.4](#) of this handbook.

1.7.4 Termination of Faculty Appointments

1.7.4.1 *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.

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 their 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.

1.7.4.2 *Retirement*

Under normal circumstances, a faculty member 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 during 12-month appointments will receive payment for that leave upon retirement, 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](#).

1.7.4.3 *Termination by the University*

The University has established procedures governing the non-renewal of tenure-track (see [2.1.2.1](#)) and non-tenure-track (see [3.2.1](#)) faculty appointments, as well as the termination of tenured faculty

(see [2.1.4](#)) and the termination of non-tenured faculty prior to the expiration of the appointment term (see [2.1.3](#) for tenure-track or [3.2.2](#) for non-tenure-track) .

1.7.4.4 *Exit Procedures*

Employees who leave the university 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.

1.8 Faculty Responsibility in Teaching

All faculty members are expected to comply with the following procedural responsibilities in the performance of their instructional duties. Faculty members will:

1. prepare a syllabus for each course in accordance with University guidelines, post an electronic copy of each syllabus on the appropriate course website, and submit an electronic copy to the appropriate department;
2. record student attendance regularly in the University's student information system (SIS);
3. record midterm and final course grades in the University's SIS;
4. grade and return student work in a timely manner to ensure that students are adequately informed of their standing in each course;
5. meet all assigned classes regularly, systematically, punctually, and for the full scheduled class period;
6. administer a final examination in all courses (except physical education activity courses);
7. maintain regular and sufficient office hours, post those hours for the benefit of students;
8. be accessible to administrators and students between the last day of examinations and graduation day;
9. address student absences personally, including absences resulting from illness; and
10. address cases involving cheating and plagiarism in accordance with the University's Academic Honor Code.

2 TENURED AND TENURE-TRACK FACULTY

2.1 Types of Tenured and Tenure-Track Appointments

2.1.1 Tenured Appointments

Faculty members holding tenured appointments receive annual appointment documents as described above in section [1.7.2.1](#) of this handbook. Only faculty members holding tenure-track 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 [2.1.4](#) of this handbook.

2.1.2 Tenure-Track Appointments

A tenure-track faculty appointment is an appointment which is eligible for tenure 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. Tenure-track appointments are for one year, subject to renewal according to the performance expectations described in section [7.1](#) of this handbook. A notice of non-renewal will follow the process described in section [2.1.2.1](#) below.

Board Policy [BT0006](#) defines the standard length of the probationary period, as well as the procedures for extending or suspending the probationary period, the process for requesting early tenure consideration, and the timeline for notifying tenure-track faculty members of non-renewal.

At UT Southern, the tenure-track faculty member will apply for tenure during the fall semester of the sixth probationary year. (See section [6.2.3](#) of 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 upon the recommendation of the faculty member's department head, dean, and Enhanced Tenure-Track Review committee (see section [2.1.2.2](#) below). If tenure is denied following early consideration, the faculty member may reapply once, during the fall of the sixth probationary year. If tenure is not granted during the sixth probationary year, the faculty member will be permitted to serve a seventh year as a terminal year.

2.1.2.1 Notice of Non-Renewal of Tenure-Track Appointment

A non-tenured faculty member holding a tenure-track appointment will be notified in writing by the Provost if the University, in its sole discretion, chooses not to renew the faculty member's appointment.

In line with 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:

- 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;
- 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

- 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.

2.1.2.2 *Enhanced Tenure-Track Review (ETTR)*

UT Policy [BT0006](#) requires tenure-track faculty on 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 for that year. (See section [7.1](#) 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.

2.1.3 Termination of a Tenure-Track Appointment

The termination of a tenure-track 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 [2.1.4](#) of this handbook). The procedures for non-renewal of a tenure-track appointment are explained above in section [2.1.2.1](#) of this handbook.

2.1.4 Termination of a Tenured Appointment

2.1.4.1 *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.

2.1.4.2 *Additional UT Southern Policy*

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.

2.1.5 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 [5.2](#) of this handbook], and the sanction shall be held in abeyance until the 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.

3 NON-TENURE-TRACK FACULTY

3.1 Types of Non-Tenure-Track Faculty Appointments

3.1.1 Renewable Appointments: Non-Tenure-Track and Librarian

Faculty members holding non-tenure-track appointments or librarian appointments receive annual appointment documents as described above in section [1.7.3](#) of this handbook. Such appointments are renewable annually, subject to satisfactory performance (see section [7.1](#) 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.

3.1.2 Visiting Faculty Appointments

Faculty members holding a visiting faculty appointment receive an appointment document at the time of initial appointment as described above in section [1.7.3](#) of this handbook. Visiting 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, a visiting faculty appointment may be renewed and a reappointment document issued.

3.2 Termination of a Non-Tenure-Track Appointment

3.2.1 Termination at Expiration of Non-Tenure-Track Appointment

A faculty member holding a non-tenure-track appointment will be notified in writing by the Provost if the University, in its sole discretion, chooses not to renew the faculty member's appointment. Such notification will be given no later than five business days after the Annual Meeting of the Board of Trustees.

3.2.2 Termination Prior to the Expiration Date of Non-Tenure-Track Appointment

A non-tenure-track faculty appointment may be terminated for adequate cause (as defined in section [2.1.4.1](#) of this handbook) prior to the expiration of the appointment term. In the event that a department head or dean recommends to the Provost that a non-tenure-track faculty member be terminated for cause, the dean and Provost 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 Provost concludes that adequate cause for the termination exists, the faculty member shall be 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 [2.1.4.1](#)), 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 and relieving the non-tenure-track faculty member of any remaining responsibilities under the appointment.

4 RECRUITMENT AND HIRING OF FACULTY

4.1 Full-Time Faculty

4.1.1 Authorization to Search

An authorization to search is required to fill any new or vacated position. Deans must submit requests and justifications for any new positions to the Provost during the budget conferences for the following year. The requests should include the proposed rank, salary, and job description. The Provost 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.

4.1.2 Recruitment and Interview Procedures

The University is committed to recruiting a 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 tenure-track, full-time appointment.

The Provost will consult with the dean 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 department head, 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 full-time, tenure-track faculty positions, the committee will recommend candidates, typically three, to be invited for on-campus interviews. For instructor or visiting 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/or the Chancellor.

Once interviews are completed, the search committee will submit its formal recommendation to the Provost. The Provost 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 [4.3](#) of this handbook.)

4.1.3 Certification of English Language Competency

The department head, in consultation with the search committee, should certify that the candidate can communicate effectively with students in the English language. The relevant policy, BT0013, can be found [here](#) and on the website of UT Academic Affairs and Student Success.

4.1.4 Letter of Appointment

The Provost 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, and
4. The academic year during which tenure and/or promotion must be considered, if applicable.

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 & Student Experience, completes the initial appointment to employment between the University and the faculty member. (See also section [1.7.3.1](#) of this handbook.)

4.1.5 Tenure upon Initial Appointment

UT Policy [BT0006](#) (III.D) allows 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.

4.2 Part-Time (Adjunct) Faculty

The department head, in consultation with the appropriate program coordinator, is primarily responsible for recruiting and selecting part-time (adjunct) faculty. Applicants must apply through a posting and the normal HR procedures. Part-time (adjunct) faculty are required to have the academic credentials and to meet the criteria for employment that are detailed in section [4.3](#) of this handbook.

After interviewing the candidate and verifying their credentials, the department head will make a recommendation to the dean. Any official offer of employment will be made by the Provost. At the time of appointment, the faculty member will be provided with an appointment document as

described in section [1.7.3.2](#) 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.

4.3 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 coursework: earned a 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. Faculty qualifications are verified using a qualification matrix in each academic department before hiring faculty.

5 FACULTY RIGHTS AND TENURE

5.1 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. This foundational policy establishes the principle of academic freedom as well as 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 described within that policy and proceduralized, in the appropriate sections of this handbook.

Eligibility requirements for tenure consideration specific to UT Southern and the procedures for requesting tenure consideration are detailed in section [6.2](#) of this handbook.

5.2 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 by UT Southern Human Resources.
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.

5.2.1 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: department head; dean; Provost; 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, the faculty member may appeal the Provost's decision to the Chancellor directly or request review by the Faculty Appeals Committee prior to the Chancellor's review. The Provost'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 Provost's decision to request a Faculty Appeals Committee review.

5.2.2 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. 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 the committee members and the Chancellor, will determine whether the faculty member's complaint lies within the Committee's jurisdiction and merits consideration. If so, the chair will initiate a complete review of the matter.

5.2.2.1 *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. termination of visiting or tenure-track faculty before the stipulated term of appointment (see Section [2.1.3](#) of this handbook);
3. termination for unsatisfactory performance in teaching, research, or service (see [BT0006](#), Appendix B); or

4. termination for misconduct (see [BT0006](#), Appendix C).

5.2.2.2 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. 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.

5.2.2.3 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.

5.2.3 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, which is the subject of the hearing.

5.3 Compensated Outside Services

Full-time faculty members appointed to The University of Tennessee agree to devote themselves to the University'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 staying up to date lies outside the normal scope of a regular academic appointment and involves testing one's academic skills and abilities by applying them to real-world problems. The University encourages faculty to engage in consulting and other related outside services 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.

5.3.1 General Principles

University policy establishes procedures to encourage faculty professional development and 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 a faculty member's performance is based solely 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. College 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 these guidelines. Administrative officers such as deans or department heads who believe that a faculty member has engaged in compensated outside activities in a manner inconsistent with these guidelines or applicable bylaws, may initiate appropriate action. In such cases, a faculty member has the right to the appeals processes described in this Handbook.
5. These policy guidelines primarily concern long-term or continuing/recurring short-term arrangements between faculty members and clients. These guidelines do not apply to activities such as:

- a. 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.
 - b. Compensated activities conducted in the summer by faculty who serve in an academic-year appointment.
 - c. Faculty compensation through grants and contracts. See Fiscal 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 provisions of this handbook regarding academic freedom.

Specific Guidelines

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 dean 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 dean and develop a new or revised plan with the dean'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 dean 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 dean and the faculty member.
5. Twelve-month faculty and staff members are expected to perform university-related activities for a twelve-month period. Thus, faculty members on a 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 dean. The dean 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 dean, 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 Provost's Office will provide deans with a template form to be used in conducting the discussion and agreement regarding outside compensated service described in Policy Requirement 2 above.

5.4 Professional Development Leave

Full-time tenured faculty members are eligible to apply for paid professional development leave if they have completed a minimum of six consecutive years of service in a full-time appointment immediately prior to the time the professional development leave is to begin. Professional development leave is granted in accordance with UT Policy [HR0335: Educational Leave](#).

5.4.1 Application and Approval

An eligible faculty member interested in applying for professional development leave should submit the Application for Professional Development Grant to his or her dean. The dean will review the application and will make a recommendation to the Faculty Development Committee. The Faculty Development Committee will review the application and make a recommendation to the Provost. The Provost will make the final decision on each application.

5.4.2 General Criteria for Awarding Leave

Professional development leave is awarded on the merits of a faculty member's specific proposal for professional development. Further, granting of paid professional development leave is conditional based on available funds. The award is an investment by UTS in the expectation that the leave will enhance the faculty member's ability to contribute to the objectives of UTS and to student development. The improvements sought during professional development leave should benefit the

work of the faculty member, department, college, and university. Only professional development leave proposals that meet this criterion will be accepted and approved by UTS. The purposes for which professional development leave may be granted include:

1. research on significant problems and issues;
2. important creative or descriptive work in any means of expression;
3. post-doctoral study at another institution; and
4. other approved projects, including innovations in teaching and learning.

5.4.3 Duration of Leave and Compensation

Paid professional development leave may be granted for either:

1. one-half the faculty member's annual appointment period at the faculty member's full base salary rate; or
2. the faculty member's full annual appointment period at one-half of the faculty member's full base salary rate.

Compensation is contingent upon the availability of funds and shall be paid monthly, unless approved otherwise.

5.4.4 Additional Compensation and Benefits

1. For the period of a faculty member's professional development leave, the faculty member normally will be permitted to accept only such grants, contracts, awards, fellowships, and other additional compensation as are given to support the approved professional leave project or are consistent with university policies. A fellowship, grant-in-aid, or government-sponsored exchange lectureship may be accepted for the period of the leave if acceptance will promote the purpose of the leave and is approved by the Provost.
2. Any compensation provided by the awarding agency to pay for travel, housing, board, books, etc., while away from UTS shall normally be retained by the faculty member to offset costs of living temporarily in another location (if applicable). It is the intent of UTS that faculty members receiving distinguished awards not be penalized for accepting them.
3. To the extent permitted by state law, all benefits available to the faculty member under normal service shall be available during professional leave.

5.4.5 Return to Work and Impact on Promotion

Upon completion of the professional development leave, the faculty member is expected to return to UTS for a period of no less than one year. Professional development leave will not affect the timeline for promotion.

6 ADVANCEMENTS IN RANK AND AWARDING OF TENURE

6.1 Faculty Rank

All full-time 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 an 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 [6.2](#) of this handbook.

Exceptions to the requirements may include special certificates and/or work experience that uniquely qualify 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 criteria are subject to any standards set by the Commission on Colleges of the Southern Association of Colleges and Schools and by the UT Board of Trustees.

It shall remain the prerogative of the Chancellor or Provost to hire needed personnel and waive the listed criteria.

6.1.1 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.

6.1.2 Assistant Professor

The rank of assistant professor requires possession of the terminal degree appropriate to the teaching discipline. One hired for a tenure-track faculty appointment before receiving a terminal degree and at the rank of instructor may, upon completion of the terminal degree, be immediately eligible for promotion to assistant professor, in accordance with their appointment letter. 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.

6.1.3 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 [6.1.2](#) in this handbook for a description of terminal degrees.

6.1.4 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 [6.1.2](#) in this handbook for a description of terminal degrees.

6.1.5 Graduate Faculty Status

Graduate faculty status may be awarded to a 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 dean, director of the relevant graduate program, and Vice Provost. Graduate faculty must apply for this status and must demonstrate scholarly competence in the discipline. See section [6.1.2](#) of this handbook for a description of terminal degrees.

There are two types of graduate faculty status that a faculty member may apply for:

- Full membership in the graduate faculty is for tenured or tenure-track faculty in the program area. This is a renewable, five-year appointment type.
- Associate membership in the graduate faculty is for adjunct faculty, non-tenure-track faculty, or tenure-track faculty outside the program area. This is a renewable three-year appointment type.

6.1.6 Emeritus Status

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

6.2 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 tenure-track faculty members and librarians (as described in section [1.7.2.1](#) of this handbook) are eligible to be considered for advancement in rank and only tenure-track faculty members are eligible to be considered for tenure. For a definition of tenure, see section [5.1](#) of this handbook.

6.2.1 Board Criteria for the Awarding of Tenure

UT Policy [BT0006](#) (III) states that tenure is granted after a thorough review which establishes the likelihood that a faculty member's excellence in teaching, research, and service will contribute to the mission and needs of their academic unit over a considerable period of time.

6.2.2 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 professional service. The first two of these items, credentials and length of service, are detailed in section [6.1](#) of this handbook. The other three criteria are detailed below.

Tenure-track faculty on probationary status shall apply for tenure during the term indicated in the probationary appointment document. Tenure-track 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 [6.2.3](#) of this handbook.

Teaching, Scholarship, and Service

Teaching, scholarship, 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. 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 employ best practices and diverse teaching methods and styles appropriate to delivery modality.

Scholarship includes not only original research and creative endeavors but also grant writing and other scholarly activities. 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.

Service is the effective application by faculty members of knowledge, skills, or expertise developed within their discipline or profession as a scholar, teacher, administrator, or practitioner. A distinction is made between general civic responsibilities and the application of one's professional skills. It is the latter that delineates contributions in the area of service. Candidates are expected to apply their professional skills in service to the Department, College, the University, the candidate's profession, and the public, although candidates need not contribute equally to each type of service. University service is not voluntary; it consists of tasks assigned by one's supervisors.

6.2.3 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. Candidates for tenure or promotion must meet all published submission deadlines. No late applications will be considered by the Promotion and Tenure Committees.

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 dean and the Provost regarding the preparation of the portfolio.

Each application portfolio should include an introductory section containing an executive summary, a current curriculum vitae, external evaluation letters (see section [6.2.3.1](#)), a peer/supervisor review of instruction (see section [6.2.3.2](#)), 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, 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.

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.

6.2.3.1 External Review Letters

All tenure or promotion application portfolios must include at least two external review letters. The external reviewers 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 department head a list of potential external reviewers, along with a brief description of each potential reviewer's qualifications. The department head may suggest additional potential reviewers. The department head will then request the letters directly from the reviewers agreed upon by both the head and the applicant. If the applicant and department head are unable to agree upon reviewers, the dean will have the final decision. The letters should give an evaluation of the candidate's scholarship and should be requested early enough to be included in the candidate's application portfolio.

6.2.3.2 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 department head or the head's designee, and it should be conducted during the academic year prior to the submission of the portfolio.

6.2.3.3 Procedures for Applying for Tenure

Step 1—Solicitation of External Review Letter (See section [6.2.3.1](#) above.)

Step 2—Consideration by Tenured Faculty

UT policy requires formal consultation with the tenured faculty of the department in which the candidate seeks tenure. In early Fall, therefore, the candidate will make his or her application portfolio available for review by the tenured faculty of the department in which the candidate seeks tenure. In the event the department has fewer than three tenured faculty eligible to serve, additional tenured faculty from within the department's college or the university may be added to the committee. The tenured faculty will meet to discuss the tenure candidacy and will then submit a written report to the department head. The report will include the manner in which a formal, anonymous vote of the tenured faculty is taken and recorded 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 department head.

Step 3—Consideration by the Department Head

The department head, 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 dean, including a written summary explanation of the judgment, with a copy provided to the tenure candidate at the same time. If the head's recommendation differs from the recommendation of the tenured faculty, the summary must explain the reasons for the differing judgment, and the head must provide a copy of the summary to the tenured faculty. The tenured faculty may forward a dissenting report to the Promotion and Tenure Committee.

Step 4—Consideration by the Promotion and Tenure Committee

The candidate's application portfolio, along with the department head's report, will be made available to the Promotion and Tenure Committee. The committee will meet to discuss the tenure candidacy and will then submit its written recommendation to dean. The committee's recommendation is advisory to the dean.

Step 5—Consideration by the College Dean

The dean, after receiving the advisory report from the Promotion and Tenure Committee and making an independent judgment on the tenure candidacy, will submit his or her own recommendation to the Provost with a written summary explanation of his or her judgment, with a copy provided to the tenure candidate at the same time.

Step 6—Consideration by the Provost

The Provost will make his or her independent judgment 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 7—Chancellor's Recommendation

All tenure recommendations from the Provost, 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 8—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 9—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.

6.2.3.4 Procedures for Applying for Promotion

Step 1—Solicitation of External Review Letters (See section [6.2.3.1](#) above.)

Step 2—Consideration by Tenured Faculty

By the published deadline, the candidate will make his or her application portfolio available for review by the tenured faculty of the department in which the candidate seeks promotion. In the event the department has less than three tenured faculty eligible to serve, additional tenured faculty from within the department's college or the university may be added to the committee. The tenured faculty will meet to discuss the promotion candidacy and will then submit a written report to the department head. 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 promotion. A simple majority of the tenured faculty will constitute a positive recommendation. The report of the tenured faculty is advisory to the department head.

Step 3—Consideration by the Department Head

The department head will make an independent judgment on the promotion candidacy and will submit his or her summary recommendation to the Promotion and Tenure Committee. The report of the department head is advisory to the Promotion and Tenure Committee.

Step 4—Consideration by the Promotion and Tenure Committee

The candidate's application portfolio, along with the department head's report, will be made available to the Promotion and Tenure Committee. After review of the portfolio and the department head'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 its written recommendation to the dean. The committee's recommendation is advisory to the dean.

Step 5—Consideration by the College Dean

The dean will make his or her independent judgment of the promotion candidacy and will then forward his or her recommendation and summary explanation for the recommendation to the Provost.

Step 6—Consideration by the Provost

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

Step 7—Chancellor's Decision

All promotion recommendations from the Provost, 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.

7 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 [7.2.1](#) of this handbook.

7.1 Evaluation of Non-Tenured Full-Time Faculty

Non-tenured full-time teaching faculty (tenure-track, visiting, and non-tenure-track) undergo annual review. In addition to such annual review, tenure-track faculty on probationary appointments undergo Enhanced Tenure-Track Review (see section [7.1.1](#) of this handbook).

Teaching, scholarship, and service are all integral parts of the academic profession. Tenure-track 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. Non-tenure-track faculty are expected to demonstrate that they have met or exceeded the University's expectations in teaching and service. These expectations are described on the Annual Self-Evaluation and Faculty Development Plan form and in Section [1.8](#).

The annual review process consists of the following elements:

- For each class taught a student evaluation of instruction will be administered.
- Each fall, the faculty member will submit an Annual Self-Evaluation form to the department head.
- In response, the department head will prepare a Faculty Evaluation form.
- The faculty member will then meet with the department head to review the evaluation 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 the department head or the head's designee. Note: The application portfolios for both tenure and promotion should include recent formal observations of instruction conducted by the relevant department head or the head's designee. (See section [6.2.3.2](#) 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 form, and the Faculty Evaluation form will comprise an integral part of the faculty member's portfolio application for promotion, tenure, or post-tenure review. (See section [6.2.3](#) of this handbook.)

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 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, and

Unsatisfactory for Rank -not eligible for any salary adjustment and requires an Annual Review Improvement Plan.

7.1.1 Enhanced Tenure-Track Review (ETTR) for Tenure-Track Appointments

According to UT Policy [BT0006](#) (III.E.5), each tenure-track faculty member shall be subject to an enhanced tenure-track review (ETTR) to assess and inform them of their progress toward a grant of tenure. This review is typically conducted by the department faculty and department head in the third or fourth year of the faculty member's probationary period.

A favorable evaluation through ETTR does not commit the faculty, the department, nor the college to a subsequent recommendation for the grant of tenure. Any appeal regarding ETTR shall follow the procedures for an appeal of APPR.

7.1.2 Additional UT Southern Requirements for Enhanced Tenure-Track Review (ETTR)

This review will occur during the third or fourth year of probation (unless an extension has been granted in accordance with UT Policy [BT0006](#)) 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, as detailed in section [6.2](#) of the Faculty Handbook. These expectations are described on the Enhanced Tenure-Track Review form and in Section [1.8](#).

The ETTR consists of the following elements:

- In early Fall, the faculty member will submit the Enhanced Tenure-Track Review form to the department head for distribution to the tenured faculty members in the department.
- The tenured department faculty will confer regarding the faculty member's performance and will then submit a written report to the department head. 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 department head 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 department head will forward both assessments to the dean.
- The dean will compile his or her own written assessment of the faculty member's progress and will share that assessment with the faculty member. The dean will forward the assessments to the Provost.
- The Provost and dean will then meet with the faculty member to review the assessments and to discuss the faculty member's progress toward the grant of tenure.

7.2 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.

7.2.1 Annual Performance-and-Planning Review

Each tenured faculty member will undergo a formal Annual Performance-and-Planning Review based on the Annual Self-Evaluation form and the Faculty Responsibility in Teaching described in Section [1.8](#).

The annual review process consists of the following elements:

- For each class taught a student evaluation of instruction will be administered.
- Each fall the faculty member will submit an Annual Self-Evaluation form to the department head.
- In response the department head will prepare a Faculty Evaluation form.
- The faculty member will then meet with the department head to review the evaluation 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 dean on an Annual Review Improvement Plan to be reviewed by the dean and recommended by

him/her to the Provost 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 [7.2.3](#) 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 10 business days of the review date. The Appeals Committee will review relevant documents and, if it wishes, interview principals.

The Appeals Committee will report its findings to the Provost. The Appeals Committee may recommend reconsideration. If it does so, the Provost 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 Chancellor's decision is final.

The faculty member will receive notification from the Chancellor or Provost that the appeal has been approved or denied.

7.2.2 Periodic Post-Tenure Performance Review (PPPR)

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](#)) requires a comprehensive performance review of every tenured faculty member at least every six years. UT Southern conducts such post-tenure performance reviews according to the following procedures.

7.2.2.1 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 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.

7.2.2.2 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 [7.2.2.3](#) below no later than the beginning of the academic year of review.
- The PTR Committee shall be provided with the materials required by [7.2.2.4](#) below no later than December 1.
- The PTR Committee shall submit its report required by [7.2.2.6](#) below no later than January 30.

7.2.2.3 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 three 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 department 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, Research, and Student Success, will provide instructions, guidelines, and best practices to members of PTR Committees.

7.2.2.4 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, 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.

7.2.2.5 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, college, and campus and provide sufficient flexibility to consider changes in academic responsibilities and/or expectations. 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).

7.2.2.6 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, department head, dean, and chief academic officer.

Faculty members and department heads must have the opportunity to provide a written response to the PTR Committee report. The dean 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 chief academic officer and the Chancellor shall indicate whether or not they concur in the dean's determination. If the PTR Committee report is not unanimous, the dean shall provide the supporting reasons for his or her determination. If the dean, the chief academic officer or the Chancellor do not concur in a determination, then he or she shall provide the supporting reasons for the non-concurrence. The dean's determination, the chief academic officer's and Chancellor's concurrences, and any written responses of the faculty member and department head 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, Research, and Student Success.

7.2.2.7 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 [5.2](#) 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.

7.2.2.8 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.

7.2.2.9 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.

7.2.3 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.

7.2.4 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 Provost a rating using the four-point performance rating scale described in section [7.2.1](#) of this handbook.

7.2.5 Comprehensive Performance Review Based on Findings of an Academic Program Review

Under UT Board Policy ([BT0006](#)), 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.

7.3 Evaluation of Graduate Faculty

Full-time faculty with graduate faculty status will undergo annual evaluation as described in sections [7.1](#) of this handbook (for non-tenured faculty) and [7.2](#) (for tenured faculty). Graduate faculty status comes with the ongoing requirement to demonstrate scholarly competence in one's discipline. Adjunct faculty with graduate faculty status will undergo annual evaluation as described in section [7.4](#) of this handbook, with additional review by the department head, the director of the graduate program, and the dean.

7.4 Evaluation of Part-Time (Adjunct) Faculty

Part-time (adjunct) faculty members are expected to meet or exceed the University's teaching performance expectations. These expectations are described in the Annual Self-Evaluation form and in Section [1.8](#).

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

- For each course taught, a student evaluation of instruction will be administered.
- 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.