
Appointment, Evaluation, Promotion, Tenure, and Termination

3

3.1 Appointments

3.1.1 Tenured Faculty and Tenure-Track Faculty Appointments

1. Regular Full-Time Academic Year Appointment

Regular full-time academic year appointments involve full-time service and salary is paid in 12 monthly installments earned from August 1 through the following July 31 at the rate of one-half of the annual salary for each of the two semesters (fall and spring). Regular full-time academic year appointments are considered to be either tenure-track (a probationary period in which creditable service toward tenure and/or promotion is accumulated) or tenured.

2. Regular Full-Time 12-Month Appointment

Regular full-time 12 month appointments involve full-time service and salary is paid in 12 monthly installments from July 1 through the following June 30. Persons appointed under these classifications are entitled to vacation and sick leave accruals in accordance with the established University policies. See The University of Tennessee Personnel Policies and Procedures Manual, Policy 305, "Annual Leave (Vacation)" and Policy 380, "Sick Leave." Regular full-time twelve month appointments are considered to be either tenure-track (a probationary period in which creditable service toward tenure and/or promotion is accumulated) or tenured.

The University uses the following ranks or titles for full-time academic year and full-time 12-month tenure and tenure-track faculty members:

Assistant Professor

- a. the doctorate or equivalent training and experience (in certain fields the master's degree may be sufficient);
- b. demonstrated ability as a teacher or librarian or potential for that activity;
- c. demonstrated evidence of research ability and scholarly or professional promise;
- d. demonstrated ability to relate effectively to students and professional colleagues.

Associate Professor

- a. the doctorate or equivalent training and experience (in certain fields the master's degree may be sufficient);
- b. good reputation as a teacher or librarian;
- c. good record in research and scholarly or professional attainment;
- d. established record of effective participation in professional activities other than teaching and research;
- e. demonstrated ability to relate effectively to students and professional colleagues

Professor

- a. the doctorate or equivalent training and experience (in certain fields the master's degree may be sufficient);
- b. established reputation as a teacher or librarian;
- c. established record in research and scholarly or professional attainment;
- d. established record of effective participation in professional activities other than teaching and research;
- e. established ability to relate effectively to students and professional colleagues

3.1.2 Non-Tenure-Track Appointments

1. Non-Tenure-Track Teaching Appointment

The University may hire non-tenure-track teaching faculty members for specific teaching assignments and ordinarily does not expect them to engage in disciplinary scholarship, or perform public or disciplinary service as a condition of their employment. Expectations of disciplinary scholarship and service may be added to the terms of employment.

The University uses the following ranks or titles for non-tenure-track teaching faculty members:

Instructor: This rank is reserved for faculty members who are appointed through a search for a tenure-track faculty position but do not hold the terminal degree at the time of appointment. Upon completion of the terminal degree, the instructor will be promoted to Assistant Professor for the following year at which time he or she will begin the tenure-track probationary period, which can be up to a maximum of six years. The letter of appointment shall include clear expectations for

completion of the terminal degree as a condition of continued employment. Normally, appointments for instructors who do not complete their degree requirements within 12 months of their appointment will not be renewed.

Lecturer: This rank is for those who hold the appropriate degree for their discipline (or its professional equivalent) and who are appointed for full or part-time teaching.

Senior Lecturer: This title is reserved for and automatically applied to lecturers who have taught at this institution for 10 years or longer.

Distinguished Lecturer: This rank is for those who hold a degree appropriate to their discipline (or its professional equivalent) and who have demonstrated excellence in teaching. Tenured faculty members from within the academic department¹ will evaluate and make recommendations for appointments to the rank of Distinguished Lecturer, in accordance with departmental and college bylaws. Ordinarily this rank is reserved for senior scholars with established national reputations in their discipline.

All non-tenure-track teaching appointments will be made for a definite term of one year or less, except Distinguished Lecturer appointments which may be made for a term of five years. All appointments are renewable subject to availability of funds, satisfactory performance, and staffing needs.

2. Non-Tenure-Track Research Appointment

The University hires non-tenure-track research faculty members to conduct research and ordinarily does not expect them to engage in teaching, or perform public or disciplinary service as a condition of their employment. Expectations of teaching duties and service may be added to the terms of employment.

The University uses the following ranks or titles for non-tenure-track research faculty members:

Research Assistant Professor: This rank is for those who have completed a doctoral degree or terminal degree appropriate to the discipline. Individuals holding such positions demonstrate an ability to initiate independent research and obtain external funding. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to this rank in accordance with college and departmental bylaws.

Research Associate Professor: This rank is for those who have completed a doctoral degree or terminal degree appropriate to the discipline, and have a record of sustained scholarly activity and external financial support. Research Associate Professors have research qualifications and accomplishments consistent with those for appointment at the rank of associate professor. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to this rank in accordance with college and departmental bylaws.

Research Professor: This rank is for those who have completed a doctoral degree or terminal degree appropriate to the discipline, and have a substantial record of sustained, externally funded, scholarly activity that has culminated in national and/or international recognition among their peers. Research professors have demonstrated research qualifications and accomplishments and qualifications consistent with those for appointment at the rank of professor. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to this rank in accordance with college and departmental bylaws.

The University may hire non-tenure-track research faculty members at any time to meet research needs within the various academic programs. All non-tenure-track research appointments will be made for a definite term of one year or less, which may be renewed subject to continued availability of funding, satisfactory performance, and staffing needs.

3. Non-Tenure-Track Clinical Appointment

The University hires non-tenure-track clinical faculty members to perform professional services and to provide instruction to students in a clinical setting. They generally are not expected to conduct research or perform public or disciplinary service as a condition of their employment. Expectations of scholarship and service may be added to the terms of employment.

The University uses the following ranks or titles for non-tenure-track clinical faculty members:

Clinical Instructor: This rank is for those who have completed a degree appropriate to the discipline, and who are licensed or certified to practice the profession. Individuals holding such positions demonstrate an ability to teach students in a clinical setting.

Clinical Assistant Professor: This rank is for those who have completed a doctoral degree or terminal degree appropriate to the discipline, and who are

¹"Academic department" refers to the smallest local academic department, in some cases, a school or division. Similarly, "academic department head" may be a director or dean where appropriate.

licensed or certified to practice the profession. Individuals holding such positions demonstrate an ability to teach students in a clinical setting. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to this rank in accordance with college and departmental bylaws.

Clinical Associate Professor: This rank is for those who have completed a doctoral degree or a terminal degree appropriate to the discipline, and who are licensed or certified to practice the profession. Individuals holding such positions have demonstrated clinical and teaching abilities consistent with those for appointment at the rank of associate professor. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to this rank in accordance with college bylaws.

Clinical Professor: This rank is for those who have completed a doctoral degree or a terminal degree appropriate to the discipline and who are licensed or certified to practice the profession. Individuals holding such positions have demonstrated clinical and teaching qualifications and accomplishments consistent with those for appointment at the rank of professor. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to this rank in accordance with departmental and college bylaws.

The University may hire non-tenure-track clinical faculty members to meet instructional needs and provide professional services within academic programs. All non-tenure-track clinical appointments will be made for a definite term of one year or less, which may be renewed subject to continued availability of funding, satisfactory performance, and staffing needs.

4. Adjunct Faculty Appointments

Individuals who provide compensated or uncompensated service to the instructional and/or research programs of the university on a semester-by-semester basis will receive adjunct faculty appointments. Normally the dean, as a designee of the Provost and in consultation with the academic department head, will issue letters of appointment to adjunct faculty listing specific duties and compensation. In coordination with the Office of the Provost, each dean will be responsible for developing protocols appropriate to the college in order to insure consistency in adjunct faculty appointments.

Exempt employees of the University may receive an adjunct faculty appointment in an academic department other than the employee's primary appointment. Such arrangements must be approved by

the employee's supervisor and must not conflict with the execution of their primary duties.

All adjunct faculty who teach must hold the appropriate degree required for teaching within the academic discipline. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to academic rank in accordance with college and departmental bylaws. Adjunct faculty may serve on graduate committees after the Graduate Council and the Provost, in consultation with the academic department head, have evaluated and approved their academic credentials. Adjunct faculty may supervise clinical experiences or assume other responsibilities within the guidelines set forth in university, college, and departmental policies. Individuals with adjunct appointments are not eligible for tenure.

5. Visiting Faculty Member Appointment

Academic programs may invite visiting faculty members to teach, participate in scholarly work, or both within the program. The visiting faculty member shall have professional credentials and level of education required of faculty members in the academic program. Tenured faculty members from within the academic department will evaluate and make recommendations for appointments to academic rank in accordance with college and departmental bylaws.

Visiting faculty members do not participate in the governance of the academic department and are not subject to annual performance reviews. A visiting appointment is normally either for one semester, two semesters, or 12 months. The Provost will issue letters of appointment to visiting faculty members. Individuals with visiting faculty member appointments are not eligible for tenure.

3.1.3 Intercampus Academic Appointments

Intercampus academic appointments are sometimes authorized when it appears that a faculty member at one campus has expertise that qualifies him/her for participation in the work of an academic department on another campus, and when the academic department has need for his/her services. The definition and extent of such intercampus participation is determined by mutual agreement between the faculty member, the heads, directors or chairs of the academic departments involved, and the respective deans, Provost or other campus officers. In these cases, the following guidelines are observed:

- a.** The appointment is normally without salary or tenure in the cooperating or second academic department (i.e., the unit awarding the intercampus appointment); tenure (if any) and salary continue to be linked with the base or home academic department.
- b.** The head of the base academic department recommends the intercampus appointment to the

head of the cooperating academic department following informal discussion or negotiation.

c. The appointment is made by the cooperating academic department with the ordinary approvals by the dean or director, Provost and Chancellor.

d. The title of the faculty member in the cooperating academic department is determined by mutual agreement between the head and the faculty member, subject to approval by the dean or director, Provost and Chancellor.

3.1.4 Faculty Rank Appointments for University Administrators

The Provost, in consultation with the appropriate academic department, college dean, and the Department of Human Resources, may confer faculty member status onto those individuals whose primary duty is administration or service. This designation is reserved for individuals who hold the appropriate academic credentials to teach within the discipline.

The Provost may use the following ranks or titles for individuals in this category: Lecturer, Assistant Professor, Associate Professor, or Professor. Determination of title will be made using the same procedures and guidelines established for normally appointed faculty member of the academic department. Faculty members whose primary duties are academic administration or service may not receive tenure unless otherwise specified in the “Board of Trustees Policies Governing Academic Freedom, Responsibility, and Tenure”.

These faculty members are generally not expected to conduct research or perform disciplinary service. The teaching effectiveness of these faculty members will be reviewed annually using the same practices and standards applied to other faculty members in the academic department. Evidence of teaching effectiveness will be included in the individual's overall annual evaluation. Those who hold this designation may participate in departmental, college, and university governance with approval from the Office of the Provost, and in consultation with the appropriate academic dean and academic department head. When potential conflicts of interest arise regarding evaluation of these faculty members, the evaluation will be conducted by an impartial academic department head or person of equivalent rank designated by the Provost.

3.1.5 Criteria for Appointment

Criteria for appointment to faculty member ranks reflect the rigorous preparation necessary for University teaching, and research, the various service activities expected of the faculty members of a major university, and the diversity of missions performed by academic departments. Concerned and effective advising and counseling is normally understood to be part of the task of teaching in all of these ranks.

3.1.6 English Language Requirement

Each individual appointed to a teaching position or recommended for tenure must have demonstrated the ability to communicate effectively with students in the English language. This ability must be certified in writing by the academic department head or other appropriate administrator to the Chancellor or the Chancellor's designate. Persons who teach courses that are conducted primarily in a foreign language may be exempt from this requirement.

Written procedures for review and evaluation of the English language competency of candidates for appointment to, or tenure in, a position must be provided; and assistance in improving the spoken English competency of currently employed teaching personnel who are identified as needing such assistance should be provided.

3.1.7 Procedures for Effecting Appointment

Except as otherwise provided in this chapter, all academic departments will follow departmental and college bylaws for conducting the search for, the hiring of, and the annual evaluation and promotion of tenure track, non-tenure-track, and part-time faculty members.

1. Search Authorization

The dean or other appropriate administrator obtains authorization from the Provost to begin a search for a new faculty member based on demonstrated need of the academic department's academic program and availability of money for the position. The position may be new or a replacement for someone who has resigned, retired, gone on leave, or otherwise left the University. Because of budget uncertainties, the authorization of a search does not necessarily mean that an appointment will be made.

2. Affirmative Action

The University is fully committed to affirmative action recruitment at all levels. Therefore, efforts must be made by the academic department to ensure that qualified minorities and women are made aware of position vacancies and are included among the applicants for positions. Initially, the Affirmative Action Officer will be contacted to advise the academic department as to the proper procedures to ensure that the Affirmative Action Plan of the University is followed and that maximum effort is made to employ women and minorities. Prior to an appointment being offered, approval must be obtained from the Affirmative Action Officer certifying that the Affirmative Action requirements have been met.

3. Search

A thorough search and careful selection precedes any departmental recommendation of appointment. The length and complexity of this process depends upon the nature of the appointment (term, part-time, tenured,

tenure-track, visiting, etc.). In any event, the head consults with the departmental faculty members to develop a plan for the search process. Under normal circumstances, the departmental faculty members or a faculty member search committee should identify the needs of the program, the characteristics needed in a new faculty member and a timeline of procedures to be followed in conducting the search and screening candidates. The academic department head and the departmental faculty members should approve the plan. The departmental faculty members should have the opportunity to help determine the kind of person needed, the search procedure to be followed, the basic pool of candidates, the persons to be selected for interview and the final choice. At each of these stages, final responsibility for the departmental recommendation rests with the head.

4. Recommendation to Appoint

Following a departmental decision to recommend appointment, there may be informal discussions concerning rank, salary and other terms of employment between the head and a prospective faculty member. Such discussions serve merely to shape and influence the recommendations of the academic department head and do not constitute a binding commitment by the University, nor should conditions of employment be communicated to the candidate in written form.

5. Notification of Appointment

Notification of appointment is made by letter from the Provost. This letter of appointment specifies

- a. rank;
- b. salary and related financial conditions;
- c. probationary status, indicating that he or she will be advised annually on his/her retention status and progress toward tenure and promotion;
- d. maximum probationary period (i.e. the academic year during which a tenure decision must be reached);
- e. general duties and expectations

Any previous correspondence between the academic department head, dean or director and faculty member concerning these matters is unofficial and not binding on the University.

6. Acceptance of Appointment

An individual's written acceptance of the letter of appointment completes the initial agreement of employment between the University and the faculty member.

7. Notice of Changes in Certain Terms of Appointment

The faculty member is officially notified of subsequent salary decisions, reappointment, changes in rank, title or assignment 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 decisions and other changes in employment status are made following approval of the University budget by the Board of Trustees at its annual meeting in June.

8. General Terms and Conditions of Appointment

Academic departments shall provide their faculty members with the resources necessary to perform assigned duties, including office space, office and pedagogical supplies, support services, and equipment. When funds are available, academic departments should provide support to tenure track and non-tenure-track faculty members to engage in professional development activities such as travel to scholarly meetings.

Academic departments should have consistent criteria for assigning teaching duties to all faculty members and should consider the views of non-tenure-track faculty members when preparing teaching schedules and other professional assignments.

Non-tenure-track faculty members may participate in departmental, college, and/or university governance as provided by the Faculty Handbook (2.3.3).

Except as otherwise provided in this chapter, all regular appointees are on one-year appointments renewable each year, normally beginning August 1 and ending July 31. Notification of renewal is given by the Provost.

Employment of relatives is permitted. However, no employees who are relatives shall be placed within the same direct line of supervision whereby one relative is responsible for supervising the job performance or work activities of another relative. (Personnel Policies and Procedures Manual; Section 115.)

3.2 Evaluation of Faculty

3.2.1 Non-Tenure-Track Faculty Evaluation

Each academic department will evaluate annually all non-tenure-track faculty members. The scope of the evaluation will be determined by the assigned duties specified in the faculty member's appointment letter, and the standards for evaluation should be consistent with the relevant standards of performance for teaching, research, and service as defined in chapter 3.2.2.3. Each academic department will determine appropriate means of reporting which are consistent within the academic department and the college and subject to the approval of the dean of the academic department. The record of the evaluation will be maintained within the academic department and the Faculty Records Office.

Individual academic departments will be responsible for establishing procedures for the regular review of adjunct faculty. Visiting faculty members are not subject to annual performance reviews.

3.2.2 Tenure-Track and Tenured Faculty Annual Evaluation and Development by Objectives (EDO)

Annual Performance and Planning reviews are required by the “Board of Trustees Policies Governing Academic Freedom, Responsibility, and Tenure” and are required as a term of employment by The University of Tennessee system. At UTC, Faculty Evaluation and Development by Objectives (EDO) is an annual performance oriented system that is based on identifying objectives, establishing a realistic program for obtaining these objectives, and evaluating and rewarding performance in achieving them. An effective faculty EDO system is one where a faculty member’s objectives are clear and where discussion occurs between a faculty member and the academic department head regarding performance so that surprises for either the faculty member or the academic department head will be unlikely when the evaluation occurs.

Evaluation of faculty performance is an essential component of the EDO process, providing formative and summative assessment of the individual’s performance so that he/she can maintain or improve subsequent performance; serving as a basis for promotion, tenure, salary, and other decisions; and providing accountability with regard to the quality of teaching, research and service to those concerned with the institution.

Within the context of the institutional goals and long-range plans, individual faculty members propose objectives to their academic department heads. Joint negotiation and agreement between the individual faculty member and the academic department head results in a written set of faculty member objectives. A periodic review of the objectives between the faculty member and the academic department may occur which could alter the written document.

The scope of the EDO is broad in that the format of the review process is consistent for all members of the faculty, is evidentiary based, and represents common goals of all faculty members. The EDO process also recognizes unique disciplinary characteristics and expectations of the faculty members working within their academic discipline.

3.2.2.1 Establishing Objectives

Since the objectives of the faculty are fundamental components of the EDO process, it is important that they be carefully prepared. It is the responsibility of the faculty member to clearly articulate specific objectives and to demonstrate how these relate to his or her professional development and responsibilities. It is the responsibility of the academic department head to provide an unambiguous review of the merit and quality of these objectives within the context of the disciplinary standards for the profession and the expectations of the faculty member specified in the letter of appointment.

The following guidelines should be consulted during the objective setting stage of the EDO process:

- 1.** The objectives should contribute to his or her development as an effective faculty member.
- 2.** The objectives should be realistic and they should identify needed resources. Although a good objective will be challenging, it should also be attainable within the capabilities and resources of the individual and the University. Objectives should reflect the resources available to the faculty member.
- 3.** Objectives should specify an action to be taken or a task to be accomplished. At the time of evaluation it should be clear whether or not a particular objective has been achieved.
- 4.** Objectives should be described in such a way that their completion may be objectively evaluated in a manner keeping with disciplinary standards. Not all objectives can or even should be quantified; but for those that do lend themselves, objectives should be stated so that the result is specific and subject to quantitative measures. When an objective aims for a qualitative result, understanding should be reached beforehand as to how and by what standards the outcome is to be judged.
- 5.** Once formulated, objectives should be written down and consulted periodically by the faculty member, academic department head, and others who might have an interest or role in their attainment.

3.2.2.2 EDO Calendar

Departmental Objectives Conference April 1-15	Overall departmental objectives, derived from university and college objectives, are discussed and agreed upon by the academic department heads and the departmental faculty members to provide guidelines for the development of individual objectives.
Individual Objectives Conference for Returning Faculty member April 15-30	Faculty member submits written objectives for forthcoming year (May 1 - April 30) on Individual Objectives Sheet to the academic department head; followed by a conference between the faculty member and head to negotiate and agree on the objectives.
Individual Objectives Conference for New Faculty members Sept. 15-Oct. 15	Same as above.
Review Individual Objectives (optional) Sept. 15-Oct. 15	Individual objectives may be reviewed by faculty member and head and, if necessary, modified. Faculty member may discuss progress to date.
Individual Performance Evaluation March 1 – 16*	Faculty member submits Individual Performance Report Form to academic department head. The head evaluates performance of routine responsibilities and individual objectives met, and assigns the faculty member a performance ranking. The faculty member has the right to request a meeting with the head within one working week to discuss and/or respond in writing to the evaluation.
March 30	Two copies of EDO Individual Objectives Sheet, Individual Performance Report Form, Individual Evaluation Form, and any other supporting documentation, including the faculty member's written response to the evaluation, are submitted by the academic department head to the dean.

*EDO evaluation conferences of faculty members being considered for tenure or promotion and first year appointees, where possible, should be completed at least two weeks prior to departmental consideration for tenure/promotion or reappointment.

3.2.2.3 EDO Performance Ratings

At UTC the evaluation of the professional responsibility of the faculty member focuses on three performance areas; teaching and advising¹; research, scholarship, and creative activities²; and professional service to the University, profession, and community.³

Among these obligations, teaching and advising are of highest importance at UTC. It is recognized, however, that research, and scholarly and creative achievement contribute significantly to good teaching and to the advancement of knowledge. It follows, then, that faculty members will be expected to be involved actively in research, scholarship or creative activity as well. Since, in its Mission Statement, the university specifies that a fundamental purpose of the institution is to serve the people of the community, state, and region it is expected that faculty members will contribute to this mission through University and professional service. See Appendix A-C for best practices pertaining to each of these three categories.

While the individual faculty member is expected to participate in each of the three areas, annual achievement will vary in accordance with the objectives established in conference with the academic department head. Lesser participation in one area should be counterbalanced by greater participation in others.

In the three areas of responsibility⁴ (teaching, research, and service), the academic department head will evaluate the faculty member's routine responsibilities established by the academic department, those defined in the Faculty Handbook chapter entitled "Faculty Responsibilities," and those identified on the Individual Objectives Sheet for the period being evaluated. During the course of the year, an individual

¹Includes such activities as: teaching, student advising, development of new courses, preparation of instructional materials or other activities designed to enhance educational and instructional quality.

²Includes such activities as: disciplinary research, development of creative art forms, grant development and administration, scholarly publications and presentations, and other activities related to the development and dissemination of new knowledge or art forms.

³Includes such activities as: service through administrative and committee assignments, service to professional organizations, appropriate consulting, advisement or sponsorship of student activities, coordination of special departmental, school, college or university activities, and discipline- and university-related community services.

⁴Faculty on sabbatical or other special assignment (e.g. educational leave, research leave) may not be active in each of the three areas during this assignment. With prior agreement, these faculty will be evaluated and, depending on performance, be eligible for a merit salary increment. In accordance with the Faculty Handbook statement, "leaves of absence are normally granted for no more than one year and are normally without university compensation." Faculty on non-academic leave without pay will not normally be evaluated, nor will they normally be eligible for merit salary increment for the year on leave.

may undertake teaching, research, or professional service activities in addition to those listed on the Individual Objectives Sheet and report these for consideration in the EDO evaluation process.

The mechanics for the EDO as they apply to tenure-track and tenured faculty members do not differ. However, the EDO process for Tenure-track faculty members can and does have bearing on reappointment and tenure decisions. In turn, the EDO process for Tenured faculty members can and does have bearing on Promotion decisions, and is linked directly to the Cumulative Performance Review (CPR) process which is described in section 3.4.7. It is the responsibility of the academic department head to insure that the EDO process takes into account the distinction between Tenure-track and Tenured faculty members as follows:

1. Tenure-track Faculty Members

The EDO process should focus on faculty development and mentorship, and should help to determine whether the faculty member is making adequate progress towards receiving tenure.

2. Tenured Faculty Members

The EDO process should focus on innovation and long-term goal setting and should insure that the faculty member continues to meet the expectations of a tenured member of the faculty at rank.

A brief narrative evaluation of each area, and a composite evaluation of all three areas, will be reported by the academic department head on the Individual Evaluation Form using one of the four designations of performance defined below.

1. Exceeds Expectations for Rank

Eligible for significant merit pay or performance-based salary adjustment that is consistent with campus, college, and departmental fiscal situations

2. Meets Expectations for Rank

Eligible for minimum merit pay or performance-based salary adjustment that is consistent with campus, college, and departmental fiscal situations

3. Needs Improvement for Rank

Not eligible for merit pay or performance-based salary adjustment and required to implement an Annual Review Improvement Plan (see below)

4. Unsatisfactory for Rank

Not eligible for any salary adjustment and required to implement an Annual Review Improvement Plan (see below)

Each academic department will define its standards for expected performance in each of these four areas. These standards must be approved by the

dean and the Provost and should be kept on file in the office of the academic department's dean. Any change of standards that the academic department has agreed upon will be submitted to the dean and Provost for final approval. Once an academic department's standards for performance ratings have been established, the academic department head is charged with fairly and equitably identifying qualitative differences in performance. It is the role of the dean to encourage reasonably comparable levels of standards for the differing units within each college or school. It is the role of the Provost to encourage such comparable standards across the University.

Faculty members must sign the EDO evaluation form to indicate that they have read and understood the academic department head's evaluation. The faculty member's signature does not indicate agreement with the academic department head's rating. A faculty member who disagrees with the head's recommended designation may submit a written response to the academic department head within five working days. This response will be forwarded to the dean along with the EDO documentation and will become a part of the faculty member's official EDO record. The dean forwards his or her recommendation to the Provost and, in the case of a "Needs Improvement for Rank" or "Unsatisfactory for Rank" rating, must copy that recommendation to the head and to the faculty member.

Within 30 days of the annual review, any tenured faculty member rated Needs Improvement for Rank or Unsatisfactory for Rank must collaborate with the head on an Annual Review Improvement Plan to be reviewed by the head and recommended by him/her to the dean for review and approval/denial. The next year's annual review must include a progress report that clearly describes improvements in any area(s) noted as Needs Improvement for Rank or Unsatisfactory for Rank.

Exceeds Expectations for Rank

In cases where the faculty member has exceeded expectations for rank within the academic department, and at the discretion of the academic department head, the head will forward to the dean a recommendation for "Exceeds Expectations for Rank" by attaching the Exceeds Expectations for Rank Consideration Form to the faculty member's Individual Evaluation Form.

The dean will forward his or her recommendations for "Exceeds Expectations for Rank" to the Provost and will send a copy of that recommendation to the head. The Provost will make his/her recommendation to the Chancellor for final award.

3.2.2.4 EDO Rating Appeals Process

1. Appeal of “Needs Improvement for Rank” and “Unsatisfactory for Rank”

A faculty member who wishes to contest an EDO performance rating of “Needs Improvement for Rank” or “Unsatisfactory for Rank” must, within five working days of notification from the dean, notify the dean in writing of the intent to contest, and must send a copy of the intent to contest to the academic department head. Within ten working days of receiving notification of the intent to contest the dean must schedule a meeting that includes the faculty member, the academic department head, and the dean (or, in the case of a contest by a academic department head, the academic department head, the dean, and the Provost).

If no resolution emerges from this initial meeting, then the faculty member may formally appeal to the Ad Hoc EDO Appeals Committee. This committee will consist of the non-voting dean of the faculty member’s college (or, in the case of an appeal by a academic department head, the Provost, etc.), and five additional members as follows:

- The chair of the faculty member’s departmental Rank and Tenure Committee, who will serve as Chair of the Ad Hoc EDO Appeals Committee
- Two (2) academic department heads plus one (1) alternate, selected annually each August by the Committee on Committees to serve for the academic year
- Two (2) faculty members plus one (1) alternate, selected annually each August by the office of the Provost to serve for the academic year

All relevant EDO materials, including departmental and college bylaws outlining criteria for evaluation, will be provided to this committee by the academic department head and the dean. Both the faculty member under review and the faculty member’s academic department head shall reserve the right to present his or her case before the committee. The committee, in turn, reserves the right to request that the faculty member under review or the faculty member’s academic department head appear before the committee.

A recommendation to accept or reject the appeal is forwarded by the committee to the Provost, who then weighs the recommendation of the Ad Hoc EDO Appeals Committee against all other available evidence in making his or her determination. The Provost then informs the faculty member of his or her decision. The faculty member may formally appeal the Provost’s decision to the Chancellor. The Chancellor’s decision may be appealed to the UT System President. The President’s decision is final.

In the case of a successful appeal, any salary adjustments will be awarded retroactively.

2. Appeal of “Meets Expectations for Rank”

The faculty member wishing to appeal a rating of “Meets Expectations for Rank” must, within five working days of notification from the Dean, make a written appeal to the Provost and must provide the dean with a copy of the written appeal. Within ten working days of receiving notification of the appeal, the Provost must schedule a meeting that includes the faculty member and the dean of the faculty member’s college. The academic department head reserves the right to participate in this meeting. If no resolution emerges from this meeting, then the faculty member may appeal to the Chancellor. The Chancellor’s decision may be appealed to the UT System President. The President’s decision is final.

In the case of a successful appeal, any salary adjustments will be awarded retroactively.

3.2.3 Standard Dossier Format

Faculty members being considered for reappointment, promotion in rank or tenure will be asked to submit a dossier which is standard to the extent that it describes the way in which the faculty member has met each of the respective criteria as listed in this Handbook.

The dossier should include a preface that must contain a Curriculum Vita (CV) describing the candidate’s education and experience (both prior to coming to UTC and while at UTC) and a one page executive summary of the same. In addition, the preface may contain a summary of EDO evaluations.

The dossier should be divided into the three distinct components based on the performance areas outlined in the EDO; teaching and advising¹; research, scholarship, and creative activities²; and professional service to the University, profession, and community.³

The respective divisions of this dossier should include all documentation for and evidence of activities related to teaching, research, and service in which the faculty member has engaged since his/her initial appointment at UTC. A teaching philosophy and a record of Student Ratings of Faculty (for a minimum of five years) must be included in the dossier. Other materials should be included at the discretion of the

¹Includes such activities as: teaching, student advising, development of new courses, preparation of instructional materials or other activities designed to enhance educational and instructional quality.

²Includes such activities as: disciplinary research, development of creative art forms, grant development and administration, scholarly publications and presentations, and other activities related to the development and dissemination of new knowledge or art forms.

³Includes such activities as: service through administrative and committee assignments, service to professional organizations, appropriate consulting, advisement or sponsorship of student activities, coordination of special departmental, school, college or university activities, and discipline and university related community services.

individual faculty member, and, if possible, on the advice of the academic department's Rank, Tenure, and Reappointment Committee. See Appendix A-C for information pertaining to appropriate activities in each of these three categories.

3.2.4 The Departmental Rank, Tenure, and Reappointment Committee

Each academic department is to maintain a standing committee for rank, tenure, and reappointment considerations. The full membership of the committee consists of all tenured faculty members within the academic department with the exception of the head. Tenured faculty members on leave are eligible to sit on the committee but are not required to do so. Tenured faculty members who are on leave have the right to vote in-absentia. The academic department head or responsible academic officer is responsible for calling an organizational meeting of the complete Rank, Tenure, and Reappointment Committee each academic year and for providing that committee with a record of EDO reports for each faculty member being considered for rank, tenure, or reappointment in that year. The committee will elect the chair at the first called meeting. This group meets as a committee for deliberation and voting.

The membership of the Rank, Tenure, and Reappointment Committee is to consist of at least three members. If there are not three tenured faculty members within the academic department, the committee will be augmented by tenured faculty members from allied academic departments, generally within the same division or college, but if necessary, drawn from outside those areas. The academic department head shall prepare a list of tenured nominees for the committee, at least two for each committee vacancy, giving consideration to each nominee's expertise and familiarity with the nature of the discipline. The committee members will then be elected by majority vote of all tenured and tenure-track members of the faculty in the academic department.

In principle, no member of the administrative chain involved in the promotion process should make recommendations on any individual case at more than one level. Accordingly, no administrator who makes recommendations should serve on an academic departmental Rank, Tenure, and Reappointment Committee, nor should any administrator be present during any meeting or deliberations of that committee unless invited by a positive vote of that committee. In particular, the academic department head shall not be present at any meeting or during any deliberations of the Rank, Tenure and Reappointment Committee.

For promotion recommendations, consideration will be by only those members of the committee already at the rank to which promotion is to be made or higher. If there are not three members of the committee who meet this criterion, election of additional members to bring the number up to three will be made by the

mechanism outlined above. Consultation by the committee with junior departmental members regarding promotion recommendations is prohibited. For rank, tenure, and reappointment decisions, the committee will sit as a whole.

3.3 Reappointment, Promotion and Salary

3.3.1 Reappointment

Faculty members holding tenure-track appointments are considered annually for reappointment. Reappointment is a recognition of promise and a sign of confidence that the individual is capable of greater accomplishments and of assuming greater responsibilities within the university. The policy of the university is to make reappointment decisions objectively, equitably, impartially, and on the basis of merit.

The typical academic year appointment begins on August 1. Each tenure-track faculty member is assigned a number of years of service, with newly appointed faculty members listed as first year faculty members unless they have been granted credit for prior service. The timetable for the reappointment process varies with the length of service at UTC and is given in section 3.3.1.1. Occasionally it may be necessary to appoint individuals to tenure track positions at times other than August 1. If the appointment date falls after March 1, the deadline for the Provost's notification of reappointment, the faculty member will maintain the designation of first year faculty members and need not be considered for reappointment until the following year.

3.3.1.1 Reappointment Calendar

1. Call for Materials

At the organizational meeting of the Rank, Tenure, and Reappointment Committee each academic year, a list of candidates for reappointment will be considered and a request for dossiers will be sent to those candidates.

2. Tenured Faculty Member's Recommendation

With all dossiers in hand, the committee holds a preliminary review, giving the committee an opportunity to request clarifying information from each candidate prior to final consideration and forwarding of recommendations to the head. The committee decision is by majority vote (yes or no) of those present and voting. Abstentions are permitted. A quorum, as specified by Robert's Rules of Order, is required for actions to take place.

The committee will forward a written recommendation to the head and dean, together with the record of the committee membership, membership attendance at final discussions, and voting results. At the same time, the candidate will be informed in writing of the committee's recommendation.

3. Department Head's Recommendation

The academic department head will make a written recommendation to the dean and inform the candidate in writing of the recommendation.

4. Dean’s Recommendation

The dean will make a written recommendation to the Provost and inform the candidate in writing of the recommendation.

5. Provost’s Recommendation

The Provost will make a written recommendation to the Chancellor and inform the candidate in writing of the recommendation.

6. Chancellor’s Recommendation

The Chancellor reviews proposed faculty member reappointments, evaluates the recommendations submitted by the Provost, and makes final decisions on reappointments.

	1st Year Faculty members	2nd Year Faculty members	3rd Year Faculty members & above
Rank, Tenure, and Reappointment Committee normally recommends to Academic department Heads	Jan 24	Nov 13	Feb 14
Academic department Heads normally recommend to Deans	Jan 31	Nov 20	Feb 21
Deans normally recommend to Provost	Feb 7	Nov 27	Mar 6
Provost normally recommends to Chancellor	February	December	March
Notification Dates	March 1	Dec 15	Apr 5

3.3.1.2 Criteria for Reappointment

In general, the criteria for reappointment are the same as those for appointments to the various ranks. These criteria should be considered as guides and are assigned varying degrees of weight. Failure to satisfy criteria in one area may be balanced by excellence in others. In certain specialized fields some of these criteria may be replaced by others. In some cases applicable criteria for reappointment are specified in the letter of appointment. Concerned and effective advising and counseling is normally understood to be part of the task of teaching at each of these ranks.

1. Assistant Professor

- a. the doctorate or equivalent training and experience (in certain fields, the master's degree may be sufficient);
- b. demonstrated ability as a teacher or librarian;

- c. definite evidence of research ability and scholarly or professional promise;
- d. demonstrated ability to relate effectively to students and professional colleagues

2. Associate Professor

- a. the doctorate or equivalent training and experience (in certain fields, the master's degree may be sufficient);
- b. good reputation as a teacher or librarian;
- c. good record in research and scholarly or professional attainment;
- d. record of effective participation in professional activities other than teaching and research;
- e. demonstrated ability to relate effectively to students and professional colleagues

3. Professor

- a. the doctorate or equivalent training and experience (in certain fields, the master's degree may be sufficient);
- b. established reputation as a teacher or librarian;
- c. established record in research and scholarly or professional attainment;
- d. record of effective participation in professional activities other than teaching and research;
- e. demonstrated ability to relate effectively to students and professional colleagues

4. Other ranks

Other Ranks are usually term appointments. In the rare instances where reappointment may occur for term appointments, the criteria set forth in the appointment letter shall apply.

3.3.1.3 Procedures for Effecting Reappointment

Recommendations (denial and approval) for reappointment are made by the academic department head, or other appropriate administrative officer, after consultation with the Rank, Tenure, and Reappointment Committee of the academic department by the appropriate dates. The head is not obliged to follow the majority recommendation of the committee, but in the event of disagreement the head must explain the decision frankly and openly to the committee and must give the committee members an opportunity to submit a dissenting report, if they so desire, with the head's forwarded recommendation. In any event, the vote of the Rank, Tenure, and Reappointment Committee must be reported and explained to the administrative official receiving the recommendation.

Recommendations for faculty reappointment are considered by the dean, director, or comparable officer of the appropriate academic department. The Provost, in consultation with other academic officers and the Affirmative Action Officer, reviews these recommendations, makes the final reappointment decision, and communicates these decisions to the dean

or director. The dean or director notifies faculty members of reappointment.

The faculty member is entitled to appeal any negative decision, following the order of the administrative officials listed above. The procedure is discussed in Chapter 4, of the UTC Faculty Handbook. Appeals will not be initiated until after the faculty member is notified of the Provost's recommendation.

Disapproval or alteration of reappointment recommendations at any level will be communicated through the administrative line to the head, who must advise those who were involved in the original deliberation. The Rank, Tenure, and Reappointment Committee or the head may request to meet with the dean for a better understanding of a reversal. The principle behind all communication is that all decisions be made known to responsible or affected persons.

Reappointments are normally effective July 1 for twelve-month appointments and August 1 for nine-month appointments.

3.3.2 Promotion

Promotion is a recognition of promise and a sign of confidence that the individual is capable of greater accomplishments and of assuming greater responsibilities within the University. The policy of the University is to make promotion decisions objectively, equitably, impartially and strictly on the basis of merit.

3.3.2.1 Promotion Calendar

1. Call For Materials

At the organizational meeting of the Rank, Tenure, and Reappointment Committee each academic year, a list of candidates for promotion will be considered and a request for dossiers will be sent to those candidates.

2. Tenured Faculty Member's Recommendation

With all dossiers in hand, the committee holds preliminary review, giving the committee an opportunity to request clarifying information from each candidate prior to final consideration and forwarding of recommendations to the head. The committee decision is by majority vote (yes or no) of those present and voting. Abstentions are permitted. A quorum, as specified by Robert's Rules of Order, is required for actions to take place.

The committee will forward a written recommendation to the head, together with records of committee membership, attendance at final discussions, and voting results.

3. Department Head's Recommendation

The academic department head will make a written recommendation to the dean and inform the candidate in writing of the recommendation.

4. Dean's Recommendation

The dean will make a written recommendation to the Provost and inform the candidate in writing of the recommendation.

5. Provost's Recommendation

The Provost will make a written recommendation to the Chancellor and inform the candidate in writing of the recommendation.

6. Chancellor's Recommendation

The Chancellor reviews all recommendations concerning promotions and normally recommends those to be approved to the System President by May 1.

7. President's Action

The President reviews proposed faculty member promotions in rank, evaluates the recommendations submitted by the Chancellor, and makes final decisions on promotions.

The following are the normal deadlines for the Promotion Calendar. There will be allowances for cases where it is appropriate or necessary to extend one or more deadlines.

October 15 (Fall of academic year)	Deadline for academic department heads to call organizational meetings and request dossiers from all members of their academic departments who wish to be considered for tenure or promotion.
November 1	Deadline for academic departments to empanel complete Rank, Tenure, and Reappointment Committees.
November 15	Deadline for initial meetings of Rank, Tenure, and Reappointment committees.
March 1 (Spring of academic year)	Rank, Tenure, and Reappointment Committees make final written recommendations to academic department heads with records of committee membership, attendance at final discussions and voting results.
March 7	Academic department heads make written recommendations to deans with supporting materials.
March 17	Deans make recommendations to Provost with supporting materials.
April/May	Provost makes recommendations to Chancellor and notifies each candidate of the decision.
April/May	Chancellor makes written recommendations for approval to President.
Summer	Final notifications are mailed to candidates following approval by the UT Board of Trustees.

3.3.2.2 Criteria for Promotion

The following criteria are preliminary and subject to revision upon recommendation from the various faculties. In general, the criteria for promotion in rank are the same as those for appointments in the various ranks. These criteria should be considered as guides and are assigned varying degrees of weight. Deficiencies in some criteria ought to be counterbalanced adequately by superiority in others. In certain specialized fields of endeavor, some of these criteria may be replaced by other standards. Concerned and effective advising and counseling is normally understood to be part of the task of teaching in all of these ranks.

1. Assistant Professor

- a. the doctorate or equivalent training and experience (in certain fields the master's degree may be sufficient);
- b. demonstrated ability as a teacher or librarian;
- c. definite evidence of research ability and scholarly or professional promise;
- d. demonstrated ability to relate effectively to students and professional colleagues

2. Associate Professor

- a. the doctorate or equivalent training and experience (in certain fields, the master's degree may be sufficient);
- b. good reputation as a teacher or librarian;
- c. good record in research and scholarly or professional attainment;
- d. interest and participation in professional activities other than teaching and research;
- e. normally, a minimum of four years in rank as an assistant professor;
- f. demonstrated ability to relate effectively to students and professional colleagues

3. Professor

- a. the doctorate or equivalent training and experience (in certain fields, the master's degree may be sufficient);
- b. established reputation as a teacher or librarian;
- c. established record in research and scholarly or professional attainment;
- d. record of effective participation in professional activities other than teaching and research;
- e. normally, a minimum of five years in rank as an associate professor;
- f. demonstrated ability to relate effectively to students and professional colleagues

3.3.2.3 Procedures for Effecting Promotion

Recommendations (denial and approval) for promotion are made by the academic department head, or other appropriate administrative officer, after consultation with the Rank, Tenure, and Reappointment

Committee of the academic department by the appropriate dates. The head is not obliged to follow the majority recommendation of the committee, but in the event of disagreement the head must explain the decision frankly and openly to the committee and must give the committee members an opportunity to submit a dissenting report, if they so desire, with the head's forwarded recommendation. In any event, the vote of the Rank, Tenure, and Reappointment Committee must be reported and explained to the administrative official receiving the recommendation.

Recommendations for promotion are considered by the dean, director, or comparable officer of the appropriate academic department and are normally forwarded to the Provost on or before March 17. The Chancellor reviews all recommendations concerning promotions and normally recommends those to be approved to the President by May 1. The President reviews proposed faculty member promotions in rank, evaluates the recommendations submitted by the Chancellor, and makes final decisions on promotions.

The faculty member is entitled to appeal any negative decision following the order of the administrative officials listed above. The procedure is discussed in Chapter 4 of this Handbook. Appeals will not be initiated until after the faculty member is notified of the Provost's recommendation.

Disapproval or alteration of promotion recommendations at any level will be communicated through the administrative line to the head, who must advise those who were involved in the original deliberation. The Rank, Tenure, and Reappointment Committee the academic department head, or the effected faculty member may request to meet with the dean for a better understanding of a reversal. The principle to be applied is that all decisions be made known to responsible or affected persons.

Promotions are normally effective July 1 for twelve-month appointments and August 1 for nine-month appointments. It is the duty of the Affirmative Action Officer to periodically advise the Chancellor and Provost of imbalances in academic rank populations and to develop means for correcting these imbalances in cooperation with the Provost.

3.3.3 Salary

Salary recommendations are based on a number of related factors, including career longevity, general salary levels of the discipline and rank, and consideration of merit based on the faculty member's annual EDO evaluation.

While there should be a correspondence between the EDO evaluation and the amount of salary increase, salary increments may vary based on the number, scope, and quality of the activities which earned the performance rating, so that increases recognize and reward the differing levels of performance that exist within each performance rating. Allowing that salary increases may not be available in any given year,

academic department heads and deans are responsible for keeping track of performance ratings over periods of time when it may not be possible to award merit based salary adjustments. At such time when money does become available for merit based adjustments, academic department heads and deans are responsible for taking into account any banked merit recognition in determining such adjustments.

Faculty members as a whole are not usually consulted directly by the academic department head about precise salary decisions for any persons, though the academic department head should share with them general principles and reasoning in defining salary recommendations. Salary recommendations are forwarded as soon as possible after the State provides a budget.

3.3.3.1 Procedures for Effecting Salary Decisions

Salary recommendations are made to the next administrative level by the academic department head or other appropriate administrative officer.

Recommendations for faculty member salaries are considered by the dean, director, or comparable officer of the appropriate academic department. Salary recommendations are forwarded as soon as possible after the State provides a budget.

The Provost, in consultation with other academic officers and the Affirmative Action Officer, reviews these recommendations and communicates these decisions to the deans and directors. The Provost normally forwards recommendations on salaries and promotions (denial or approval) to the Chancellor by April 15. The Chancellor reviews all recommendations concerning salary and normally recommends those to be approved to the system President by May 1.

The President seeks approval of salary recommendations from the Board of Trustees who must give final approval.

Salary decisions are normally effective July 1 for 12-month appointments and August 1 for nine-month appointments. It is the duty of the Affirmative Action Officer to periodically advise the Chancellor and Provost of imbalances in salaries and to develop means for correcting these imbalances in cooperation with the Provost.

3.4 Tenure

3.4.1 Definition of Tenure

Tenure is a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for adequate cause, financial exigency, or academic program discontinuance. The burden of proof that tenure should be awarded rests with the faculty member. Tenure is acquired only by positive action of the Board of Trustees, and is awarded in a particular unit, department, school, college, or other

department of a campus. The award of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to The University.

3.4.2 Tenure Calendar

1. Call For Materials

At the organizational meeting of the Rank, Tenure, and Reappointment Committee each academic year, a list of candidates for tenure will be considered and a request for dossiers will be sent to those candidates.

2. Tenured Faculty Member's Recommendation

With all dossiers in hand, the committee holds preliminary review, giving the committee an opportunity to request clarifying information from each candidate prior to final consideration and forwarding of recommendations to the head. The committee decision is by majority vote (yes or no) of those present and voting. Abstentions are permitted. A quorum, as specified by Robert's Rules of Order, is required for actions to take place.

The committee will forward a written recommendation to the head, together with records of committee membership, attendance at final discussions and voting results.

3. Department Head's Recommendation

The academic department head will make a written recommendation to the dean and inform the candidate in writing of the recommendation.

4. Dean's Recommendation

The dean will make a written recommendation to the Provost and inform the candidate in writing of the recommendation.

5. Provost's Recommendation

The Provost will make a written recommendation to the Chancellor and inform the candidate in writing of the recommendation.

6. Chancellor's Recommendation

The Chancellor reviews all recommendations concerning promotions and normally recommends those to be approved to the system President by May 1.

7. President's Recommendation

The President reviews proposed faculty member promotions in rank, evaluates the recommendations submitted by the Chancellor, and submits the recommendation for tenure to the Board of Trustees.

8. Action by the Board of Trustees

No person shall acquire or be granted tenure except by positive action of the board of trustees upon the recommendation of the President. The Board of

Trustees acts only on positive recommendations. After positive action by the Board of Trustees, the Chancellor shall give the faculty member written notice of the effective date of tenure.

Dates	The following are the normal deadlines for the Promotion Calendar. There will be allowances for cases where it is appropriate or necessary to extend one or more deadlines.
October 15	Deadline for academic department heads to call organizational meetings and request dossiers from all members of their academic departments who wish to be considered for tenure or promotion.
November 1	Deadline for academic departments to empanel complete Rank, Tenure, and Reappointment Committees.
November 15	Deadline for initial meetings of Rank and Tenure committees.
March 1	Rank, Tenure, and Reappointment Committees make final written recommendations to academic department heads with records of committee membership, attendance at final discussions and voting results.
March 7	Academic department heads make written recommendations to deans with supporting materials.
March 17	Deans make recommendations to Provost with supporting materials.
April/May	Provost makes recommendations to Chancellor and notifies each candidate of the decision.
April/May	Chancellor makes written recommendations for approval to President.
Summer	Final notifications are mailed to candidates following approval by the UT Board of Trustees.

3.4.3 Probationary Period

A tenure-track faculty member must serve a probationary period prior to being considered for tenure.

It is the policy of UTC to review a probationary faculty member annually to determine whether reappointment is recommended and appropriate.

3.4.3.1 Length of Probationary Period

The probationary period at The University shall be no less than one and no more than seven academic years; however, for good cause, the President, upon the recommendation of the Chancellor, may approve a probationary period of less than one academic year. If a faculty member has served in a tenure-track appointment at another institution, his or her total

probationary service may extend beyond seven years. The original appointment letter shall state the length of the faculty member's probationary period and the academic year in which he or she must be considered for tenure if he or she has met the minimum eligibility requirements for consideration. The stipulation in the original appointment letter of the length of the probationary period and the year of mandatory tenure consideration does not guarantee retention until that time.

For good cause related to procedural error, The University and a tenure-track faculty member may agree in writing to extend a seven-year probationary period for a maximum of two additional years. The proposed extension must be approved in advance by the chief academic officer, the Chancellor, the Senior Vice President (or designee), and the General Counsel (or designee).

3.4.3.2 Suspension of Probationary Period

The Provost shall decide whether the probationary period will be suspended when the following circumstances occur: The faculty member accepts a part-time faculty position; the faculty member accepts an administrative position; or the faculty member is granted a leave of absence. The Provost shall give the faculty member written notice of the decision concerning suspension of the probationary period.

3.4.3.3 Notice of Non-Renewal

Notice that a tenure-track faculty member's appointment will not be renewed for the next year shall be made in writing by the Provost, upon the recommendation of the academic 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 month 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 to the faculty member's residential address of record at the University.

The procedure for appeal of a decision to terminate a probationary period is described in Chapter 4.

3.4.4 Eligibility and Criteria for Tenure Consideration

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

Regular, full-time, tenure-track faculty appointments at the academic rank of assistant professor, associate professor, or professor are eligible for tenure; visiting, temporary, term, and part-time appointments are not eligible for tenure. Faculty members pursuing degrees at the campus where they are appointed are not eligible for tenure.

No faculty member shall be appointed initially with tenure except by positive action of the Board of Trustees upon the recommendation of the President and after review by the tenured faculty members and academic department head, dean, Provost, and Chancellor.

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

This presumption of tenure is may be rebutted; it is not a guarantee of lifetime employment. However, the burden of rebutting the presumption of professional fitness of a tenured member of the faculty rests with the University. A tenured member of the faculty may be dismissed only in accordance with the procedures outlined in 3.4.8.

There is no absolute correlation between disciplines and administrative units. The shape of learning and, therefore, of disciplines changes in ways that make necessary interdisciplinary, interdepartmental and intercollegiate arrangements for programs of study. If there is a knowledgeable group of peers in a program of study, a faculty member may be tenured in the program even though no administrative unit corresponds precisely to the field. In such cases, the head of the program, in consultation with the program faculty members, is responsible for the original recommendation and must relate to the faculty members in the program as a head or dean/director would in ordinary circumstances.

The awarding of tenure is based not only on the individual's professional performance, but also includes consideration of the anticipated needs of the academic program for the foreseeable future. Professional excellence is reflected in good teaching, scholarship and/or other creative work in the discipline, participation in professional organizations, willingness to contribute to the common life of the University, and effective work with colleagues, students and in public

service. The relative weigh of these factors in tenure determination will vary according to the mission of the particular academic department and the characteristics of the individual.

A decision not to award tenure is in no sense a judgment of incompetence. Not all competent faculty meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve the needs of the University's programs. The burden of proof that tenure should be awarded rests with the faculty member.

The criteria for appointment reflect the basic elements for tenure consideration; however, a positive recommendation for tenure requires demonstrated excellence in performance. Expectations necessarily vary within the respective disciplines and in light of the faculty member's rank. In all cases, however, excellence in teaching or as a librarian is considered primary. The nature of the disciplines is such that they emphasize differing levels of performance and differing mixes and types of research and service. Consequently the faculty members of the disciplines will recommend the standards, degrees of emphasis, and the appropriate types of research and service required for tenure.

The following criteria pertain to decisions governing the awarding of tenure. The list is not necessarily comprehensive, nor should it be assumed that the items are of equal significance, or that they are listed in order of relative importance (except for item #1 below, which is considered primary).

- a.** Demonstrated excellence in teaching or as a librarian at The University of Tennessee at Chattanooga, in the academic department in which tenure is to be granted;
- b.** Evidence of scholarly competence in the discipline;
- c.** Evidence of professional growth and activities appropriate to the discipline;
- d.** Demonstrated ability to relate effectively to UTC students and colleagues;
- e.** Membership and participation in professional organizations;
- f.** Service to The University of Tennessee at Chattanooga, the community and the region as appropriate;
- g.** Quality of academic advisement to UTC students;
- h.** Evidence of meeting the staffing needs of the University.

An academic department may also establish more specific criteria for tenure in that unit. After approval by the dean and Provost, these criteria for tenure shall be published in the bylaws of the academic department. The tenure criteria for an academic department shall include and be consistent with the criteria stated in this

policy as well as any criteria established by the academic department's college.

3.4.5 Procedures for Effecting Tenure

An adequate evaluation of a tenure candidate's qualifications, professional contributions, potential and determination of whether he or she should be accepted as a tenured member of the campus academic community requires the judgment of both the candidate's faculty colleagues and the responsible administrators. Thus, although recommendations for tenure are administrative actions that must be approved by the Board of Trustees, there should be no positive recommendation for tenure without formal consultation with the tenured faculty members of the academic department in which the candidate holds his or her position.

Each academic department shall adopt bylaws governing the tenured faculty member's consideration of a candidate for tenure. The bylaws shall provide for a meeting of the tenured faculty members to debate and discuss the tenure candidacy. The bylaws shall also provide for the manner of taking and recording a formal vote of the tenured faculty members on whether the candidate should be recommended for tenure and shall establish the minimum number of votes necessary to constitute a positive recommendation.

These bylaws may extend, but not contradict, the constitution of the departmental Rank, Tenure, and Reappointment Committee described in section 3.2.4 or procedures described in sections 3.4.1 and 3.4.2.

The vote of the tenured faculty members is advisory to the academic department head. After making an independent judgment on the tenure candidacy, the head shall submit a recommendation to the dean with a written summary of his or her judgment on, or normally before, the end of the first full week of March. If the head's recommendation differs from the recommendation of the tenured faculty members, the summary must explain the reasons for the differing judgment, and the head must provide a copy of the summary to the tenured faculty members. The tenured faculty members may forward a dissenting report to the next level of review.

All tenure recommendations of the academic department head, whether positive or negative, shall be reviewed by the dean of the college. The dean may establish a college-wide committee for review of tenure and promotion recommendations. The recommendation of a college-wide committee shall be advisory to the dean. After making an independent judgment on the tenure candidacy, the dean shall forward a recommendation to the Provost. Recommendations shall be forwarded to the Provost on or before the end of the third full week in March.

All tenure recommendations of the dean, whether positive or negative, shall be reviewed by the Provost. After making an independent judgment on the tenure candidacy, the Provost shall forward his or her

recommendations to the Chancellor. Recommendations shall be forwarded to the Chancellor on or before the end of the second full week in April.

All tenure recommendations of the Provost, whether positive or negative, shall be reviewed by the Chancellor. After making an independent judgment on the tenure candidacy, the Chancellor shall forward only positive recommendations to the System President.

If the President concurs in the positive recommendation of the Chancellor, he or she shall submit the recommendation for tenure to the Board of Trustees.

No person shall acquire or be granted tenure except by positive action of the Board of Trustees upon the recommendation of the President. The Board of Trustees acts only on positive recommendations. After positive action by the Board of Trustees, the Chancellor shall give the faculty member written notice of the effective date of tenure.

The faculty member will be informed in writing of the progress of his or her tenure candidacy at each step, as in promotion, as described in Section 3.4.2 of this Handbook. The procedure for appealing a negative recommendation on tenure is discussed in Chapter 4 of this Handbook. Appeals may not be initiated until after notification of the Provost's recommendation.

3.4.6 Expedited Procedures for Considering and Granting Tenure by UT Board of Trustees

1. Procedures for faculty appointment may be expedited, on an accelerated schedule that follows the campus¹ policies and procedures for faculty appointment.
2. The Chancellor may request that the President recommend an expedited Board of Trustees decision for tenure. Exceptional circumstances in which an expedited Board of Trustees action may be warranted include, but are not limited to, outstanding persons who hold a tenured faculty position at their current institution and who the Chancellor believes cannot satisfactorily be recruited to UT without expediting their tenure process.
3. Procedures for tenure recommendation and approval may be expedited, following all of the steps outlined in Appendix A but on an accelerated schedule for the Board's action: review by tenured professors in the base department followed by formal recommendations by the department head, dean, chief academic officer, Chancellor, and President
4. The President will recommend expedited tenure recommendations to the Executive and Compensation Committee, in lieu of the full UT Board of Trustees, in the circumstances described above.
5. On the recommendation of the Chancellor, the

President may authorize the Chancellor to make to a candidate a commitment to expedite the tenure process and to seek approval at an early meeting of the Executive and Compensation Committee of the UT Board of Trustees.

3.4.7 Exception to Policy Requiring Full-Time Status for Eligibility for Tenure

1. UT upholds and retains its commitment to academic freedom and tenure as essential to the proper functioning of a university, as set forth in the “UT System Policies Governing Academic Freedom, Responsibility, and Tenure.” Furthermore, UT retains its processes and steps for tenure as set forth in section 3.4.5; this applies in all circumstances other than stipulated exceptions (3.4.6 and 3.4.7).

2. In limited circumstances, a tenure recommendation for a highly qualified non full-time faculty member may be made in part because of UT’s continuing association with a specified external. Such a recommendation must document the extraordinary circumstances that require it, designate the external entity or primary employer, and specify UT’s financial commitment (if any) to the non full-time tenured faculty member.

3. Recommendations for tenure for all faculty members, including non full-time faculty members, must adhere to all of the steps described in 3.4.5, beginning with the departmental faculty vote; these procedures may be expedited per 3.4.6. There is no change to the current policy that “tenure at The University of Tennessee is granted in a particular academic unit (e.g., department, school) of a specific campus in a position appropriate to the faculty member’s qualifications.”

4. Should a non full-time tenured faculty member whose tenure was approved contingent upon his/her remaining employed by an external entity/primary employer cease that affiliation, UT may terminate his/her tenure.

3.4.8 Locus of Tenure

Tenure at the University of Tennessee is granted in a particular academic department (e.g., academic department, school) of a specific campus in a position appropriate to the faculty member’s qualifications. Reorganizations that result in the merger or splitting of academic departments do not affect the tenure or probationary status of the faculty members involved (see 3.1.2.7, Intercampus Academic Appointments).

If a tenured faculty member voluntarily transfers from one UT campus to another, his or her tenured status is not transferred. However, a review by the responsible administrators in consultation with the tenured faculty members of the receiving academic department may result in an immediate recommendation

to the Board of Trustees that tenure at the new campus be granted to the transferred individual; on the other hand, a new probationary period in the receiving unit may be established. There shall be no involuntary transfer of faculty members between campuses.

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

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

3.4.9 Cumulative Performance Review (CPR)

Tenured faculty members will continue to demonstrate their ability to provide effective instruction, sustain a program of scholarship, and provide professional service. These efforts shall be subjected to annual review as outlined in 3.2.2. A comprehensive, formal, cumulative, performance review is triggered for the following tenured faculty members:

1. a faculty member whose annual review is Unsatisfactory in any two of five consecutive years;
2. a faculty member whose annual review is any combination of Unsatisfactory or Needs Improvement in any three of five consecutive years.

Within thirty days of being triggered, a CPR committee shall be convened by the dean, who shall determine its chair. This committee shall be composed of appropriate, same or higher rank, tenured departmental faculty members (excluding the academic department head) and appropriate faculty members (same or higher rank) from outside the academic department. The faculty member being reviewed and the head may each name a campus tenured professor (same or higher rank) to the committee, which normally should have at least five (5) members including the CPR Committee chair and at least two additional faculty members nominated by the Faculty Senate (one departmental faculty member [same or higher rank] and one non-departmental faculty member [same or higher

rank]). The committee chair shall forward the committee consensus recommendation to the head, dean, and Provost. Performance ratings for cumulative reviews shall be as follows:

- Satisfies Expectations for Rank
- Fails to Satisfy Expectations for Rank

If the CPR Committee consensus rates the faculty member's performance as Fails to Satisfy Expectations for Rank, it may develop, with the affected faculty member and academic department head, a written CPR Improvement Plan (which may include, but shall not be limited to, skill-development leave of absence, intensive mentoring, curtailment of outside services, change in load/responsibilities), normally up to one calendar year, and a means to assess its efficacy, with the plan to be reviewed by the dean and approved by the Provost; or the committee may recommend to the dean and Provost that the Chancellor initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).

If the CPR Committee consensus rates the faculty member's performance as Satisfies Expectations for the Rank, the Committee must forward its justification/rationale to the dean. The dean must recommend one of the following three actions by the Provost:

1. concur that the faculty member's performance Satisfies Expectation for Rank, that his/her personnel file should show that both the Committee and the Dean concur in a Satisfactory CPR rating, and that a new five-year period annual review cycle will begin; or
2. find that the faculty member's performance Fails to Satisfy Expectations for Rank (including a rationale for that ranking), and recommend that the Provost should require that the CPR Committee develop with the affected faculty member a written CPR Improvement Plan (which may include, but shall not be limited to, skill-development leave of absence, intensive mentoring, curtailment of outside services, change in load/responsibilities), normally up to one calendar year, and a means to assess its efficacy; or
3. find that the faculty member's performance Fails to Satisfy Expectations for Rank (including a rationale for the ranking), and recommends to the Chancellor that he/she initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its

responsibility to the appropriate Faculty Senate committee).

At the end of the time allotted for a CPR Improvement Plan, the head, CPR Committee, dean, and Provost shall send a written consensus report to the Chancellor, recommending:

1. that the faculty member's performance Satisfies Expectations for Rank and no other action need be taken at this time; or
2. that the faculty member's performance has improved sufficiently to allow for up to one additional year of monitoring of improvement, after which the head, CPR Committee, dean and Provost must by consensus determine if the faculty member's performance Satisfies Expectations for Rank or recommend that the Chancellor initiates proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee); or
3. that the Chancellor initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).

3.4.10 Grounds for Termination of Tenure

3.4.10.1 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 Provost shall give the faculty member written notice of the forfeiture of tenure and termination of employment. Such action may be appealed using the normal procedures for appeal and grievances (see Chapter 4).

3.4.10.2 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 members may take place only after consultation

with the faculty members through appropriate committees of the academic department, the college, and the Faculty Senate.

1. Financial Exigency

The termination of tenured faculty members may take place only after sustained deliberations and discussion of the exigency. Such deliberations and discussions must include the involved faculty members of the University, as well as the approval of the deliberative bodies and the Chancellor. The full educational mission and goals of the University must have been reviewed carefully. Should it become necessary to abolish tenured faculty positions because of financial exigency, the campus administrators shall exert every effort to place each displaced tenured faculty member in another suitable position. This does not require that such faculty members be placed in positions for which they are not qualified, or that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another academic department be terminated in order to provide a vacancy for a displaced tenured faculty member. Priority must be given to rank and, within rank, seniority of service must be considered. Tenured faculty members given notice of termination for financial exigency may appeal the decision through administrative channels as described in 4.3.2 of this Handbook. The place of any tenured faculty member so released shall not be filled by a replacement within three years, unless the released faculty member has first been offered reappointment to the position in writing and has declined. Seniority of service is computed from the date of initial full-time employment on the UTC campus. Accrual of seniority will not be interrupted for absences due to approved leaves for study, development, sabbatical, military service, temporary disabilities (including illness, pregnancy and complications there/from), termination for financial exigency or major program discontinuation (not to exceed three years) or public service. In the event of voluntary separation and subsequent reemployment, seniority will begin with the date of the subsequent employment. The above represents a summary of the financial exigency policies and procedures and if the above conflicts with the Financial Exigency Policies and Procedures Statement, the Statement shall prevail. (See Appendix for complete Financial Exigency Policies and Procedures).

2. Major Program Discontinuation

The termination of tenured faculty members may take place only after sustained deliberations and discussions of the major program discontinuation. Such deliberation and discussions must include the involved faculty members, as well as the approval of the deliberative bodies of the University. In the event the discontinuance of a major program is proposed, the

Curriculum Committee² of the Faculty Senate shall review the proposal and make recommendations to the Chancellor. The full educational mission and goals of the University must have been reviewed carefully. Should it become necessary to abolish tenured faculty positions because of the discontinuation of a major program, the campus administrators shall exert every effort to place each displaced tenured faculty member in another suitable position. This does not require that such faculty members be placed in positions for which they are not qualified, nor that a new position be created where no need exists, nor that a faculty member (tenured or non-tenured) in another academic department be terminated in order to provide a vacancy for a displaced tenured faculty member. Priority must be given to rank; and within rank, seniority of service must be considered. Tenured faculty members given notice of termination for major program discontinuation may appeal the decision through administrative channels as described in 4.3.2 of this Handbook. The place of any tenured faculty member so released shall not be filled by a replacement within three years unless the released faculty member has first been offered reappointment to the position in writing and has declined. Seniority of service on the UTC campus is explained under Financial Exigency above.

3.4.10.3 Adequate Cause

Termination procedures for Adequate Cause can be found in Appendix X if this document. "Adequate cause" includes the following and similar types of reasons:

Category A: Unsatisfactory Performance in Teaching, Research, or Service

1. failure to demonstrate professional competence in teaching, research, or service;
2. failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to:
 - a. failure to comply with a lawful directive of the academic department head, dean, or Provost with respect to the faculty member's duties or responsibilities; and
 - b. inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;
3. loss of professional licensure if licensure is required for the performance of the faculty member's duties; or with respect to Health Sciences faculty members, failure to be granted or loss of medical staff membership and privileges at affiliated teaching hospitals; or

¹If a graduate program is involved, the Graduate Council.

4. 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.

Category B: Misconduct

1. 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;
2. falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;
3. theft or misappropriation of University funds, property, services, or other resources;
4. admission of guilt or conviction of:
 - a. a felony, or
 - b. a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration;
5. any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.

3.4.10.4 Disciplinary Sanctions Other than Termination for Adequate Cause

Disciplinary sanctions other than termination may be imposed against a faculty member.

1. If the proposed sanction is suspension without pay for a definite term (no more than one year), the procedures applicable to termination shall be offered prior to suspension, provided, however, that the procedures shall be modified as follows:
 - a. suspension without pay for a definite term (no more than one year) may be imposed as a sanction by the Chancellor without review by the President and the Board of Trustees; and
 - b. the Chancellor may determine that the expedited procedure for suspension without pay is applicable to the conduct (see "Termination Procedures for Category B Adequate Cause: Misconduct" concerning the expedited procedure).
2. If the proposed sanction does not involve suspension without pay, the academic department head shall make a recommendation to the dean, and the dean shall make a recommendation to the Provost. The Provost 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 described in Chapter 4, and the sanction shall be held in abeyance until conclusion of the appeal.

3.4.10.5 Resignation

Faculty members who resign from the University relinquish thereby all claims to tenure. Since faculty appointments are made for the academic year, it is expected that faculty members who wish to resign will do so effective at the end of the academic year. In all cases, notification of resignation must be made early enough to allow the University to cover any assignments that may have been projected. Resignation during the contract period is not official until accepted in writing. Faculty members should check with the Director of Academic Personnel Services at least two months before the resignation is effective regarding payment of the final salary check.

3.4.10.6 Retirement

Faculty members who resign from the University relinquish thereby all claims to tenure. There is no mandatory retirement age for faculty members. The effective date of retirement shall generally be December 31 or May 31. For those teaching summer school, the retirement date will be no later than July 31, at which time all summer school teaching assignments must be completed. Employees contemplating retirement should notify the Personnel Office at least three months before the retirement date.

3.4.10.7 Emeritus Status

The purpose of an *emeritus* appointment is to recognize retiring faculty members or administrators for distinguished service to the University over an extended period of time.

Faculty members and administrators may be awarded *emeritus* status by the Chancellor upon recommendation of the academic department head or other appropriate supervisor, the dean and the Provost and in consultation with the tenured faculty members from the faculty member's academic department. When judged appropriate, it is customary to award this distinction at the time of retirement to those faculty members retiring with the rank of professor, to those administrators retiring with the rank of dean or Provost, or to those faculty members who have rendered outstanding service of long duration to the University. Recommendations for the award of *emeritus* status should be made by the academic department head through a memorandum to the Chancellor, with memoranda of support from the Provost and from the appropriate dean.

The award of *emeritus* status is accomplished through a letter to the retiree from the Chancellor and by including the appropriate title code in the Personnel Action Form executed at the time of retirement.