

3. TENURE-TRACK AND TENURED FACULTY

The Board of Trustees' *Policies Governing Academic Freedom, Responsibility, and Tenure* ([UT Policy BT0006](#)), originally adopted in 1998, and all subsequent amendments, govern faculty rights and responsibilities. The following sections are intended as a general summary of the parts of the Board's policy relevant to tenure and tenure-track faculty and of UTC's related policies and procedures established in accordance with Board policy. Academic freedom is addressed in [Chapter 2](#) of this Handbook. In the event of any conflict or inconsistency between Board policy and this Handbook, Board policy will control.

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3.1. SELECTION OF NEW FACULTY FOR TENURE-TRACK APPOINTMENTS

Except as otherwise provided in this chapter, all academic departments will follow departmental and college bylaws for conducting the search for and the hiring of new faculty for tenure-track faculty appointments. In general, selection of new tenure-track faculty follows the following process.

3.1.1. Authorization to Search

The dean or other appropriate administrator must obtain authorization from the Provost to begin a search for a tenure-track faculty position. Factors considered by the Provost in determining whether to authorize a search for a tenure-track position include demonstrated need of the academic department's academic program and availability of funds for the position. The tenure-track position may be a new position or an existing position that is or is expected to be vacant. The authorization by the Provost of a search for a new or existing tenure-track position does not necessarily mean that an appointment will be made to the position.

3.1.2. Commitment to Diversity

UTC is fully committed to diversity in recruitment at all levels. Efforts must be made by the academic department to advertise position vacancies in an effort to obtain a diverse pool of qualified applicants. For each search, the Director of the Office of Equity and Inclusion ("OEI") will be contacted to advise the academic department as to appropriate search procedures that should be followed.¹ Prior to an appointment being offered for a position, the Director of the OEI must certify that appropriate search procedures have been followed in the search for the position.

3.1.3. Search Process

A thorough search and careful selection should precede any departmental recommendation of appointment

1. The OEI search procedures can be found [here](#).

to the dean. The department head should consult 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 the procedures to be followed in conducting the search and screening candidates. The 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 to provide an assessment of candidates interviewed. At each of these stages, final responsibility for the departmental recommendation rests with the department head.

3.1.4. Certification of English Language Competency

No individual shall be appointed to a teaching position or recommended for tenure in such a position unless the department head, in consultation with the departmental faculty members, certifies in writing to the Provost that the individual can communicate effectively with students in the English language. Individuals who teach courses that are conducted primarily in a foreign language are exempt.² The certification form is available on the UTC Academic Affairs website [here](#).

3.1.5. Recommendation to Appoint

A departmental recommendation of appointment for a tenure-track position shall be made by the department head to the dean. If the dean agrees with the departmental recommendation, the department head and dean shall forward the recommendation to the Provost. Each recommendation should be accompanied by a full set of the candidate's credentials and any required forms or certifications. Following a departmental decision to recommend an appointment of a candidate to a position, there may be informal discussions concerning rank, salary and other terms of employment between the department head or dean and the candidate. Such discussions serve merely to shape and influence the recommendations of the department head or dean and do not constitute a binding commitment by UTC.

2. See [UT System Policy Concerning English Language Competency of UT Instructional Staff](#).

3.1.6. Official Notification of Appointment

Official notification of appointment is made by letter from the Provost. The letter of appointment must specify:

1. the rank at which the faculty member is being appointed;
2. the faculty member's initial salary and related financial conditions;
3. the faculty member's probationary status, indicating that he or she will be advised annually on his/her reappointment status and progress toward tenure and promotion;
4. the length of the faculty member's probationary period (i.e. the academic year during which a tenure decision must be reached); and
5. the faculty member's general duties and expectations.

Only the letter of appointment from the Provost to the candidate regarding the terms and conditions of the appointment is binding on UTC. Any other representations concerning the terms and conditions of the appointment, whether oral or written, are not authorized by UTC and not binding on UTC.

The new faculty member's written acceptance of the letter of appointment, together with execution of normal UTC employment forms, completes the initial appointment to employment between UTC and the faculty member.

3.2. TENURED AND TENURE-TRACK APPOINTMENTS

Except as otherwise permitted in this chapter and agreed upon between UTC and a faculty member, all tenure and tenure-track appointments will be for either one academic year or for twelve months.¹

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.

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.

Employment of relatives of a faculty member is permitted, subject to the restrictions set forth under [UT Policy HR0115 – Employment of Relatives](#).

3.2.1. Criteria for Appointment to Faculty Rank

Criteria for appointment to faculty 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. For all faculty ranks, concerned and effective advising and counseling, where appropriate, is normally understood to be part of the task of teaching.

UTC has established the following general criteria that faculty members are expected to meet for the appropriate rank. Each academic department must establish its own metrics and standards for evaluating such criteria for faculty rank appointments within the department, and the department's specific metrics and standards shall be published in the department's bylaws. In regard to evaluation of librarians, "librarian" should be substituted for the word "teacher."

1. An Assistant Professor is expected to:
 1. have a doctorate degree or other terminal degree in his or her discipline or present equivalent

1. See [Section 3.2.2](#) below regarding the Classifications of Tenure-Track and Tenured Appointments.

training and experience;

2. show potential or have demonstrated ability as a teacher;
 3. show potential or have demonstrated evidence of research, scholarship, or creative activity;
 4. have demonstrated willingness to participate effectively in professional activities other than teaching and research; and
 5. have demonstrated ability to relate appropriately to students and professional colleagues.
2. An Associate Professor is expected to:
1. have a doctorate degree or other terminal degree in his or her discipline or present equivalent training and experience;
 2. have achieved a reputation as an accomplished teacher;
 3. have achieved a good record in research, scholarly, or creative activities;
 4. have an established record of effective participation in professional activities other than teaching and research;
 5. have demonstrated ability to relate appropriately to students and professional
 6. have demonstrated excellence in at least one of the three areas of responsibility (i.e., teaching, service, and research) required for full-time faculty status.
3. A Professor is expected to:
1. have a doctorate degree or other terminal degree in his or her discipline or present equivalent training and experience;
 2. have achieved and maintained a reputation as an accomplished teacher;
 3. have achieved and maintained a significant record in research, scholarly or creative activities;
 4. have achieved and maintained a significant record of effective participation in professional activities other than teaching and research;
 5. have demonstrated an ongoing ability to relate appropriately to students and professional colleagues; and
 6. have demonstrated excellence in at least two of the three areas of responsibility (i.e., teaching, service, and research) required for full-time faculty status.
4. “All But Dissertation” Appointees
- A faculty member who has not completed the terminal degree in his or her discipline (e.g., Ph.D.) but who otherwise meets all of the other criteria for the rank of Assistant Professor may be initially appointed to a tenure-track full-time academic year appointment at the rank of Assistant Professor and noted as “All But Dissertation” or “ABD,” subject to the following conditions:

- If appointed in August, the faculty member will be required to complete his or her terminal degree on or before July 31 after completing his or her first full academic year (i.e., Fall and Spring semesters) in order to retain the rank of Assistant Professor; or
- If appointed in January, the faculty member will be required to complete his or her terminal

- degree on or before July 31 after completing half of his or her first academic year (i.e., the Spring semester) in order to retain the rank of Assistant Professor; or
- Such conditions as are imposed by the Provost at the time of the faculty member's initial appointment and set forth in the initial appointment letter.

The faculty member's failure to complete his or her terminal degree within the applicable time period set forth in this section constitutes adequate cause for terminating the faculty member's employment. The tenure probationary period for a faculty member initially appointed under such circumstances is treated in an identical manner as the tenure probationary period for a faculty member initially appointed at the rank of Assistant Professor who already has his or her terminal degree at the time of the appointment.

3.2.2. Classifications of Tenure-Track and Tenured Appointments

Tenure-track and tenured appointments consist of regular full-time academic year appointments and regular full-time twelve-month appointments.

1. Regular Full-Time Academic Year (Nine-Month) Appointment:

Regular full-time academic year appointments involve full-time service during the nine-month academic year (Fall and Spring semesters). One-half of the faculty member's annual salary is earned for service for the Fall semester and one-half of the faculty member's annual salary is earned for service for the Spring semester. Regular full-time academic year appointments typically commence in August at the beginning of the Fall semester. The faculty member's annual salary for the nine-month appointment is prorated and paid over twelve (12) months, as earned, in monthly installments from August to July.

In some cases, regular full-time academic year appointments may begin in January at the beginning of the Spring semester. In such cases, the faculty member may be compensated in one of two ways for the Spring semester of the initial appointment, as agreed upon between the department head and the faculty member:

- The faculty member's salary earned for service for the Spring semester (i.e., one-half of the faculty member's total annual salary) is prorated and paid, as earned, over six (6) months from February to July; or
- The faculty member's salary earned for service for the Spring semester (i.e., one-half of the faculty member's total annual salary) may be prorated and paid, as earned, over seven (7) months from January

to July.

2. Regular Full-Time Twelve-Month Appointment

Regular full-time twelve-month appointments involve full-time service for twelve months out of a year commencing on July 1 and ending the following June 30. The faculty member's total annual salary is paid, as earned, in twelve (12) monthly installments from July to June. Faculty members under regular full-time twelve-month appointments are entitled to vacation and sick leave accruals in accordance with [UT Policy HR0305 – Annual Leave \(Vacation\)](#) and [UT Policy HR0380 – Sick Leave](#).

3.3. PROBATIONARY PERIOD

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

3.3.1. Length of Probationary Period

Except as otherwise provided in [UT Policy BT0006](#), the probationary period of a tenure-track faculty member shall be six years. The faculty member will apply for tenure during the sixth year, and if tenure is not granted, the faculty member will be permitted to serve a seventh year as a terminal year. If a faculty member begins employment after July 1 and before January 1, the remaining term of the faculty member's initial appointment will count as the first year of the probationary period, so that what is treated as the first year of a faculty member's probationary period will not be shorter than six months.

For tenure-track full-time academic year appointments that begin in January, the faculty member's probationary period begins on August 1 of the year in which the original appointment is made. For example, the tenure probationary period for an original appointment made in January 2020 would begin in August 2020 and the faculty member's first reappointment review would be performed in the 2020-2021 academic year.

The provision of a probationary period and any statement in an appointment letter or otherwise regarding the probationary period and the year of mandatory tenure consideration does not guarantee retention of the faculty member for the full probationary period.

3.3.2. Applying for Early Tenure

A tenure-track faculty member may request an early consideration for tenure before the sixth year of his or her probationary period ("early tenure") subject to the following limitations:

- A faculty member may apply for early tenure during years 2, 3, and 4 of the probationary period; however, if tenure is not granted, the faculty member must wait for one complete annual tenure cycle before reapplying; and
- A faculty member may apply for early tenure in year 5 of the probationary period. If tenure is not granted, he or she may reapply in the final year of the probationary period.

A faculty member should seek early tenure only after consultation with his or her departmental RTP Committee, department head and/or dean, which should include a thorough conversation about the faculty member's record.

3.3.3. Extension of Probationary Period

For good cause that is either related to procedural error or results from a significant disruption of University operations that has impeded the faculty member's opportunity to conduct required research or other scholarly activity, teaching, and/or service, UTC and a tenure-track faculty member may agree in writing to extend a six-year probationary period for a maximum of two additional years (not including any extension granted due to the coronavirus crisis as authorized by the UT Board of Trustees' March 27, 2020 action). The proposed extension must be approved in advance by the Provost, the Chancellor, and the UT System Vice President for Academic Affairs.¹

3.3.4. Suspension of Probationary Period

The Provost shall decide whether the probationary period will be suspended when the following circumstances occur:

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

The Provost shall give the faculty member written notice of the decision concerning suspension of the probationary period.²

1. See Section III.E.2. of [UT Policy BT0006](#).

2. See Section III.E.3. of [UT Policy BT0006](#).

3.4. FACULTY EVALUATION AND DEVELOPMENT

UTC utilizes the Faculty Evaluation and Development by Objectives (EDO) process for its annual evaluations of its faculty members. The EDO process is an annual performance- oriented system that is based on identifying objectives, establishing a realistic program for obtaining the objectives, and evaluating and rewarding performance in achieving the objectives. The scope of the EDO process 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.

The evaluation of a faculty member's performance is an essential component of the EDO process. The performance evaluation provides a formative and summative assessment of the faculty member's performance so that the faculty member can maintain or improve subsequent performance; serves as a basis for promotion, tenure, salary, and other decisions; and provides accountability with regard to the quality of teaching, research and service to those concerned with the institution. Essential to the annual evaluation process and progress toward promotion and/or tenure is the linking of the expectations for annual performance to the long-term efforts toward promotion and/or tenure. Departmental bylaws should clearly describe the association of the annual EDO process with faculty progression toward promotion and/or tenure.

3.4.1. Areas of Evaluation

The evaluation of the performance of the faculty member focuses on the following three (3) areas of professional responsibility:

- teaching and advising;¹
- research, scholarship, and creative activities; and
- professional service to the University, profession, and community.

Among these obligations, teaching and advising (as appropriate) are of highest importance at UTC. It is

1. The scope of a faculty member's responsibility regarding "advising" is determined by departmental bylaws.

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 actively involved in research, scholarship or creative activity as well. The fundamental purpose of the institution is to serve the people of the community, state, and region, and it is expected that faculty members will contribute to the mission of UTC.

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 department head. Lesser participation in one area should be counterbalanced by greater participation in others.

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 Enhanced Post-Tenure Performance Review (EPPR) process.² It is the responsibility of the department head to ensure that the EDO process takes into account the distinction between tenure-track and tenured faculty members as follows:

- 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.
- Tenured Faculty Members: The EDO process should focus on innovation and long-term goal setting and should ensure that the faculty member continues to meet the expectations of a tenured member of the faculty at such rank as determined by departmental by-laws.

3.4.2. EDO Process Calendar

The schedule of timelines for the annual the EDO review process is available on the UTC Academic Affairs website [here](#). Each tenured and tenure-track faculty member must be evaluated annually in accordance with Board policies.

3.4.3. Evaluation and Development by Objectives

An effective EDO process is one in which a faculty member's objectives are clear and in which discussion

2. See Section III.I.3. and Appendix E of [UT Policy BT0006](#) for more information regarding the EPPR process.

occurs on an ongoing basis between the faculty member and the department head regarding the faculty member's performance and progress toward achieving the faculty member's objectives.

1. EDO Objectives

Within the context of the institutional goals and long-range plans of UTC, individual faculty members propose objectives in writing on the Individual Objectives Sheet Form, which they submit to their department heads for review, discussion, and approval. 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 in writing specific objectives and to demonstrate how the objectives relate to his or her professional development and responsibilities. It is the responsibility of the department head to provide an unambiguous review of the merit and quality of the faculty member's objectives within the context of the disciplinary standards for the profession and the expectations of the faculty member specified in the faculty member's letter of appointment. The following guidelines should be consulted during the stage of the EDO process for formulating the faculty member's objectives:

- The objectives must reflect the department, college, and University missions.
- The objectives should contribute to the faculty member's development as an effective faculty member.
- 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 faculty member and the University. Objectives should reflect the resources available to the faculty member.
- 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.
- 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 objectives that so lend themselves, the objectives should be stated in a manner so that the result is specific and subject to quantitative measures. When an objective aims for a qualitative result, understanding should be reached between the faculty member and the department head beforehand as to how and by what standards the outcome is to be judged.
- Once formulated, objectives should be set forth in writing in a completed Individual Objectives Sheet for the faculty member.

2. Review and Modifications of EDO Objectives

The faculty member and the department head will review the faculty member's objectives at the time of the faculty member's EDO review. If, after a faculty member's objectives have been established, the faculty

member proposes to change his or her objectives before the next EDO review is conducted, the faculty member must immediately consult with and obtain the approval of his or her department head regarding the proposed changes.

3.4.4. Performance Ratings

Each tenured and tenure-track faculty member must be evaluated annually in accordance with Board policy. Performance ratings for annual reviews shall be as follows, and college and department bylaws must clarify the means and metric for each department head to employ in conducting these reviews:

- Exceeds Expectations for Rank—eligible for significant merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations;
- Meets Expectations for Rank—eligible for minimum merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations;
- Needs Improvement for Rank—not eligible for merit pay or performance-based salary adjustment and, if tenured, required to implement an Annual Review Improvement Plan (*see* [Section 3.4.6.3.\(1\)](#) below).³ If tenure-track, required to implement an Annual Review Improvement Plan unless the faculty member receives a notice of non-renewal of his or her reappointment as provided under [Section 3.7.4.](#) below; and
- Unsatisfactory for Rank—not eligible for any salary adjustment, and, if tenured, requires an Enhanced Post-Tenure Performance Review (*see* [Section 3.4.6.4.\(1\)](#) below).⁴ If tenure-track, required to implement an Annual Review Improvement Plan unless the faculty member receives a notice of non-renewal of his or her reappointment as provided under [Section 3.7.4.](#) below.

3.4.5. Performance Standards

Each college and academic department will establish the standards for evaluating performance of their faculty members in each of the three areas of professional responsibility: teaching, research, and service. The performance standards will be utilized in determining the assignment of performance ratings to faculty members for their annual reviews.

College and departmental performance standards must be approved by the dean and the Provost and should

3. *See* Section III.I.1. of [UT Policy BT0006](#).

4. *See* Section III.I.3. of [UT Policy BT0006](#).

be kept on file in the office of the dean of the college. The performance standards must be included in the college and departmental bylaws. Any proposed changes in college or departmental performance standards must be approved by the dean and Provost. 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 reasonably comparable standards for the differing colleges and schools at UTC.

Performance evaluations must be based on the published performance standards as stated in college and departmental bylaws. In applying the performance standards, the department head is charged with fairly and equitably identifying qualitative differences in performance of the academic department's faculty members.

3.4.6. Determination of Performance Ratings and Process

In the three areas of responsibility (teaching, research, and service), the department head will evaluate the faculty member's routine responsibilities established by the academic department, those defined by Board policy,⁵ and those identified in the faculty member's Individual Objectives Sheet for the period being evaluated. During the course of the year, a faculty member may undertake teaching, research, or professional service activities in addition to those listed in the faculty member's Individual Objectives Sheet and report such activities for consideration in the EDO evaluation process. The department head shall not utilize quotas or forced distributions of ratings in the determination of annual performance ratings of faculty members within the academic department.

For the faculty member's performance evaluation, the department head will report on the Individual Evaluation Form: (1) brief narrative evaluations of the faculty member's performance in each of the three areas of responsibility; and (2) a recommended composite rating of the faculty member's overall performance.

The department head will provide the completed Individual Evaluation Form to the faculty member. The faculty member must sign the completed Individual Evaluation Form to indicate that the faculty member has read and understood the department head's evaluation. The faculty member's signature does not indicate agreement with the department head's evaluation. Subject to the provisions under [Sections 3.4.6.1.-3.4.6.4.](#) below, the department head will send a copy of the faculty member's evaluation and other EDO documentation to the dean, and the dean will send to the Provost for review and approval/disapproval copies of the evaluations of all faculty members within the dean's college or a list of the names of the faculty members and their corresponding performance ratings.

5. See [UT Policy BT0006](#).

1. Rating of Meets Expectations for Rank

If a faculty member disagrees with the department head's recommendation of a "Meets Expectations for Rank" rating, the faculty member must, within seven (7) days of signing the Individual Evaluation Form, submit a written response to the department head setting forth the basis for the disagreement. The department head's evaluation and the faculty member's written response will be forwarded to the dean along with the faculty member's EDO documentation, all of which will become a part of the faculty member's official EDO record. The dean will review the matter and forward to the Provost a written recommendation and a copy of the faculty member's EDO documentation. The Provost will review the matter and provide written notice of his or her decision to the faculty member, department head, and dean.

2. Recommendation for Exceeds Expectations for Rank

In cases where the department head recommends an annual performance rating of "Exceeds Expectations for Rank," the department head will forward the recommendation to the dean by attaching the Exceeds Expectations for Rank Recommendation Form to the faculty member's Individual Evaluation Form. If the dean agrees with the department head's recommendation, the dean will forward his or her recommendation for "Exceeds Expectations for Rank" to the Provost and provide a copy of the recommendation to the department head. The Provost will make his or her recommendation to the Chancellor for final award.

3. Rating of Needs Improvement for Rank

If a faculty member disagrees with the department head's recommendation of a "Needs Improvement for Rank" rating, the faculty member must, within seven (7) days of signing the Individual Evaluation Form, submit a written response to the department head setting forth the basis for the disagreement. Within three (3) days of receipt of the faculty member's response, the department head must provide to the departmental Reappointment, Tenure, and Promotion Committee (RTP Committee)⁶ written notice of the basis and rationale for the faculty member's rating and a copy of the faculty member's written response. Within seven (7) days of receipt of the department's head notice, the departmental RTP Committee will provide a written evaluation of the faculty member's record and a performance rating recommendation. The departmental RTP Committee shall include in its evaluation the number of votes for and against the recommended performance rating.

6. See [Section 3.5](#), below for information regarding departmental RTP Committees.

The department head's evaluation, the faculty member's written response, and the departmental RTP Committee's recommendation will be forwarded by the department head to the dean along with the faculty member's EDO documentation, all of which will become a part of the faculty member's official EDO record. The dean will review the matter and forward to the Provost a written recommendation and a copy of the faculty member's EDO documentation. The Provost will review the matter and provide written notice of his or her decision to the faculty member, departmental RTP Committee members, department head, and dean.

(1) Annual Review Improvement Plan

Except as otherwise provided in this [Section 3.4.6.3.\(1\)](#) or in [Section 3.4.6.4.\(1\)](#) below, within thirty (30) calendar days of the Provost's decision to approve a "Needs Improvement for Rank" rating for a faculty member, the faculty member must collaborate with the department head on an Annual Review Improvement Plan to be reviewed by the department head and recommended by him or 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) for which improvement was required. The Annual Review Improvement Plan process is inapplicable if the faculty member's performance rating has triggered Enhanced Post-Tenure Performance Review.⁷ An Annual Review Improvement Plan is not required for a tenure-track faculty member with an overall performance rating of "Needs Improvement for Rank" who receives a notice of non-renewal of his or her appointment for the following year.

4. Rating of Unsatisfactory for Rank

If a faculty member disagrees with the department head's recommendation of an "Unsatisfactory for Rank" rating, the faculty member must, within seven (7) days of signing the Individual Evaluation Form, submit a written response to the department head setting forth the basis for the disagreement. Within three (3) days of receipt of the faculty member's response, the department head must provide to the departmental RTP Committee written notice of the basis and rationale for the faculty member's rating and a copy of the faculty member's written response. Within seven (7) days of receipt of the department's head notice, the departmental RTP Committee will provide a written evaluation of the faculty member's record and a performance rating recommendation. The departmental RTP Committee shall include in its evaluation the number of votes for and against the recommended performance rating.

The department head's evaluation, the faculty member's written response, and the departmental RTP

7. See Section III.I.1. of [UT Policy BT0006](#).

Committee's recommendation will be forwarded by the department head to the dean along with the faculty member's EDO documentation, all of which will become a part of the faculty member's official EDO record. The dean will review the matter and forward to the Provost a written recommendation and a copy of the faculty member's EDO documentation. The Provost will review the matter and provide written notice of his or her decision to the faculty member, departmental RTP Committee members, department head, and dean.

(1) Enhanced Post-Tenure Performance Review

A tenured faculty member who receives an annual performance rating of "Unsatisfactory for Rank" will be subject to an Enhanced Post-Tenure Performance Review (EPPR). An EPPR is an expanded and in-depth performance review conducted by a committee of tenured peers and administered by the Provost.

An EPPR must be initiated when the Provost determines that a faculty member has:

- Requested an EPPR, after at least four annual performance review cycles since the last enhanced review (such as a previous EPPR or a review in connection with tenure or promotion);
- Received one overall annual performance rating of "Unsatisfactory for Rank"; or
- Received two overall annual performance ratings of "Needs Improvement for Rank" during any four consecutive annual performance review cycles.⁸

The procedures for conducting an EPPR are detailed in Appendix E of [UT Policy BT0006](#).

(2) Annual Review Improvement Plan

Except as otherwise provided in this [Section 3.4.6.4.\(2\)](#), within thirty (30) calendar days of the Provost's decision to approve an "Unsatisfactory for Rank" rating for a tenure-track faculty member, the tenure-track faculty member must collaborate with the department head on an Annual Review Improvement Plan to be reviewed by the department head and recommended by him or 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) for which improvement was required. However, an Annual Review Improvement Plan is not required for a tenure-track faculty member with an overall performance rating of "Unsatisfactory for Rank" who receives a notice of non-renewal of his or her appointment for the following year.

8. See Section III.I.3. of [UT Policy BT0006](#).

3.4.7. Appeal of Annual Performance Rating

The Provost's decision regarding a faculty member's annual performance rating may be appealed pursuant to the appeal procedure under [Section 5.3.](#) of this Handbook, except that the decision of the Chancellor on appeal shall be final and not appealable to the President. An Enhanced Post-Tenure Review or the implementation of an Annual Review Improvement Plan will not be stayed pending the appeal of an annual performance rating.

3.4.8. Periodic Post-Tenure Performance Review (PPPR)

The academic freedom afforded to faculty by a grant of tenure is essential to the University's principal mission of discovery and dissemination of truth through teaching, research, and service.

The Board has recognized and affirmed the importance of tenure in [UT Policy BT0006](#). The Board has also recognized its fiduciary responsibility to students, parents, and all citizens of Tennessee to ensure that faculty members effectively serve the needs of students and the University throughout their careers. To balance its dedication to academic freedom with its responsibilities, UTC, with the approval of the President and the Board, has established the procedures under this [Section 3.4.8.](#) under which every tenured faculty member shall receive a comprehensive performance review no less often than every six years.

1. Post-Tenure Review Period

Except as otherwise provided in the procedures under this [Section 3.4.8.](#), each tenured faculty member must undergo some form of comprehensive performance review ("post-tenure review" or "PTR") no less often than every six years. The PTR shall not substitute for the EDO process in the year a faculty member is scheduled for PTR.

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

1. Suspension of PTR Period: A faculty member's PTR period is suspended during any year in which the

faculty member is granted a leave of absence or a modified duties assignment.

2. Restarting of PTR Period Due to Alternative Comprehensive Review: A comprehensive review of a faculty member's performance restarts the faculty member's PTR period under the following circumstances:
 - a. If a tenured faculty member undergoes a successful promotion review or a promotion is in progress during the year scheduled for the faculty member's PTR, the promotion review fulfills the PTR requirement and the PTR period is modified to require a PTR six years after the promotion review. An unsuccessful promotion review does not count as an Alternative Comprehensive Review.
 - b. If a tenured faculty member undergoes an Enhanced Post-Tenure Performance Review (EPPR) (generally triggered by annual performance review rating(s)) and is either rated as meeting expectations or successfully completes the terms of the EPPR improvement plan, the EPPR process fulfills the PTR requirement and the PTR cycle is modified to begin with the date of the EPPR committee's report.
3. Start of the PTR Period Upon Conclusion of an Administrative Appointment: Full-time administrators and faculty members with a majority administrative appointment (more than 50%) are not subject to PTR; faculty members holding a less than majority administrative appointment (50% or less) are subject to PTR regarding their faculty duties based on expectations consistent with their faculty duty allocation. When a full-time or majority-time administrator leaves his or her administrative position to assume a tenured faculty position, the faculty member's initial PTR shall occur within six years after leaving the administrative post.
4. Commitment to Retire: When a faculty member submits a letter of resignation with a termination date within the academic year during which a post-tenure review would have taken place, and provided the letter of resignation is accepted by the Provost, the post-tenure review shall be deemed unnecessary.
5. Good Cause: A faculty member's scheduled PTR may be otherwise deferred or modified only for good cause approved by the Provost.

2. Annual Schedule for Post-Tenure Reviews

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

- The Provost shall notify all faculty members subject to post-tenure review in a given academic year no later than April 1 of the preceding academic year.
- The dean of the faculty member's college shall appoint all PTR Committees as set forth in [Section 3.4.8.3](#), below no later than May 1 of the preceding academic year.
- Each PTR Committee shall convene and elect a chair and shall be provided with the materials required

by [Section 3.4.8.3](#), below no later than September 1.

- When external review is required as part of the post-tenure review by the PTR Committee in accordance with college bylaws or by the dean in accordance with college bylaws, or is requested by the faculty member for his or her post-tenure review, the PTR Committee shall solicit reviews from at least three (3) valid external reviewers no later than October 1.
- Each PTR Committee shall submit its report required under [Section 3.4.8.6](#), below no later than December 15.

3. Appointment and Composition of Post-Tenure Review Committee

1. All post-tenure reviews must be conducted by college-level committees established for the sole purpose of post-tenure review. Each PTR Committee shall include a minimum of three (3) members, provided the number is odd. Deans of larger colleges may opt to appoint a larger committee. The committee is appointed by the dean of the faculty member's college in the following manner:
 - Each department may nominate at least one (1) member, but no more than three (3) members of its tenured faculty, to serve on a college-level PTR Committee. The nominees should include no faculty member who is subject to post-tenure review in that cycle. The department nominee may hold the rank of Associate Professor only with prior approval of the dean and only in the event that no full Professor is eligible or available to serve.
 - From among the departmental nominees, the dean shall appoint faculty members to serve on a PTR Committee for any specific faculty member (or group of faculty members) undergoing review. The members of a PTR Committee shall be appointed so as to avoid any conflict of interest with any faculty member (or group of faculty members) undergoing review.
 - For the purpose of this process, a conflict of interest shall be defined as any professional or personal consideration between a PTR Committee member and a faculty member undergoing post-tenure review which may compromise, or have the appearance of compromising, the independence of the former's judgment during review of the latter.
2. The composition of the PTR Committee must meet the following requirements:
 - Each PTR Committee member must be a tenured full-time faculty member who is at the same or higher academic rank (except as provided under [Section 3.4.8.3.\(1\)](#) above), and whose locus of tenure is at the same campus as the faculty member being reviewed.
 - One, and only one, PTR Committee member must hold an appointment in the same department as the faculty member being reviewed, unless there is no such faculty member eligible to serve.

College bylaws may further define the size and membership of a PTR Committee, accounting for the characteristics of the departments and faculties which constitute the college itself.

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

Each PTR Committee shall convene and elect a chair. The chair shall solicit and collect all required materials from each faculty member under review and the department head of each faculty member under review. The chair shall subsequently ensure that the committee meets in person for a thorough review of those materials.

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

The PTR Committee must review:

1. a completed EDO (including the department head's evaluation and rating of the faculty member's performance, and student and any peer evaluation of teaching) for each year since the last review;
2. EDO goals for the current review period;
3. the faculty member's current Curriculum Vitae;
4. a narrative, not to exceed two pages, prepared by the faculty member describing the faculty member's milestone achievements and accomplishments since the last review as well as goals for the next post-tenure review period; and
5. if there has been a previous PTR, a copy of the narrative submitted as a part of the faculty member's previous PTR.

Items (1) – (2) above should be supplied by the faculty member's department head. Items (3) – (5) above should be supplied by the faculty member.

The PTR Committee may also review:

6. external reviews, when external reviews are deemed necessary by the PTR Committee in accordance with college bylaws or when external reviews are deemed necessary by the dean of the faculty member's college in accordance with college bylaws. In the event that an external review is not deemed necessary by the PTR Committee or dean, external reviews may be requested by the faculty member undergoing post-tenure review.

When an external review is deemed necessary, or is requested, for a faculty member's post-tenure review, the

materials to be reviewed for that faculty member (i.e., the materials listed under (1) – (5) above), will be sent to no fewer than three external reviewers. At least two external reviewers must provide written reviews.

The selection of the external reviewers for a faculty member is a collaboration between that faculty member and the PTR Committee conducting the review. The faculty member shall submit to the PTR Committee two lists: one list of no fewer than five names of valid reviewers, and a second list of names of individuals who must be excluded from the external review. Relying on its own counsel and expertise, the PTR Committee will create its own list of no fewer than five valid reviewers.

A valid reviewer is a tenured faculty member at a comparable institution of higher education holding the rank of full Professor and a terminal degree in the same discipline, or sufficiently- related discipline, as the faculty member undergoing post-tenure review. Preference should be given to valid reviewers from institutional peers of UTC.

From these two lists, the PTR Committee shall select exactly one name of a valid reviewer from the faculty member's list and two names of valid reviewers from its own list. From this panel of three reviewers, the PTR Committee shall solicit external reviews using a form letter provided by the Provost for this purpose. Each reviewer shall receive the same packet of materials (i.e., the materials listed under (1) – (5) as above), along with clear instructions on timely return of a review to the PTR Committee. Should a reviewer decline to review a candidate for post-tenure review, the PTR Committee may return to the two lists of valid reviewers and select another valid reviewer from whom to solicit a review.

At least two valid external reviewers must supply reviews to the PTR Committee reviewing a candidate for post-tenure review. In the event that two reviews from valid external reviewers cannot be secured, the chair of a PTR Committee may appeal to the Provost for a waiver of this requirement.

The reviews of external reviewers are advisory to the PTR Committee. In its conclusions and report, the PTR Committee should highlight relevant observations made by external reviewers, and describe the role that those observations played in the PTR Committee's conclusions and report.

5. Criteria for Post-Tenure Review

The post-tenure review process should ensure the faculty member has demonstrated continued professional growth and productivity in the areas of teaching, research (including published scholarship and creative achievement), service, and/or clinical care pertinent to his or her faculty responsibilities. The criteria for assessing the faculty member's performance must be consistent with established expectations of the department, college, and UTC and provide sufficient flexibility to consider changes in academic responsibilities and/or expectations. The expectations for faculty performance may differ by college,

department, and even among sub-disciplines within a department or program. Those expectations may be commonly-held standards in the discipline or sub-discipline. Those expectations may be stated explicitly in the faculty member's own past annual performance reviews, work assignments, goals or other planning tools (however identified), as well as department or college bylaws, this Handbook (including without limitation this [Section 3.4.8.](#)), and in other generally-applicable policies and procedures (for example, fiscal, human resources, safety, research, or information technology policies and procedures).

6. PTR Committee's Conclusions and Report

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

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

The committee must report its conclusions and recommendations in writing using a standard format prepared by the Provost, including (a) an enumeration of the vote, (b) the supporting reasons for its conclusion, (c) a dissenting explanation for any conclusion that is not adopted unanimously, (d) an identification of any incongruences observed between the faculty member's performance and his or her annual evaluations, (e) a statement of any additional concerns identified or actions recommended, and (f) if applicable, an identification of areas of extraordinary contribution and/or performance.

The PTR Committee shall send its detailed report to the dean of the faculty member's college. The dean shall make a written recommendation to accept or reject the PTR Committee's determination and which shall include the dean's justification for their recommendation. Within thirty (30) days of receipt of the PTR Committee report, the dean shall provide the report along with the dean's recommendation to the faculty member, department head, and Provost.

Upon receipt of the PTR Committee report and the dean's written recommendation, the faculty member and department head shall have thirty (30) days to provide the Provost their independent written responses to the PTR Committee report and the dean's recommendation.

After receipt of the written responses of the faculty member and/or department head, or confirmation that

no such response(s) will be provided, the Provost shall review the PTR Committee report, the dean's written recommendation, and any written responses provided by the faculty member and/or department head, before making a final decision on the faculty member's performance during the review period. The Provost shall provide notice of the Provost's final decision to the faculty member, department head, and dean in writing.

The PTR Committee report, the dean's written recommendation, any written response(s) from the faculty member and/or department head, and the Provost's final decision letter shall be maintained in UTC Faculty Records. At the conclusion of each academic year, a summary of all PTR decisions made at UTC that academic year will be compiled and submitted electronically to the University of Tennessee Office of Academic Affairs and Student Success.

7. Appeal

Within thirty (30) days of receipt of the Provost's final decision letter, the faculty member may appeal any conclusion with which the faculty member disagrees. The procedure for appeal is described in [Section 5.3.](#) of this Handbook, except that a final decision by the Chancellor on the appeal shall be made within ninety (90) days of the faculty member's appeal. The decision of the Chancellor on an appeal shall be final and not be appealable to the President. If the Chancellor's decision on an appeal does not concur with the PTR Committee's recommendation, with the dean's written recommendation, or with the Provost's decision, then the Chancellor shall provide supporting reasons for any such non-concurrence in the appeal decision letter.

8. Further Actions

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

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

9. Annual Report to the Board

The Provost shall prepare an annual assessment report of campus post-tenure review processes, procedures and outcomes for submission by the Chancellor to the Board, through the President, no later than June 1 of each

year. The report shall include a description of any deficiencies identified in departmental annual performance review processes and the plan for addressing the issues.

3.5. ROLE OF THE FACULTY IN THE EVALUATION PROCESS

In matters of evaluation, including retention, tenure and promotion, the role of the faculty is critical. Each department shall establish a standing Rank, Tenure and Promotion (RTP) Committee for considerations of reappointment, tenure, and promotion for faculty members within the department.

3.5.1. Departmental RTP Committee

1. Membership

The full membership of a departmental RTP Committee shall consist of all tenured faculty members within the academic department, except for the department head, and, if necessary, non-departmental tenured faculty members selected to the committee as provided under [Section 3.5.2.](#) below. Tenured faculty members on leave are eligible to sit on the RTP Committee but are not required to do so. Tenured faculty members on leave who are members of the committee have the right to vote in absentia on any matters before the committee. The membership of the departmental RTP Committee shall consist of at least three members.

2. Selection of Non-Departmental Members

If there are not three tenured faculty members within the academic department, the committee's membership will be augmented by tenured faculty members from academic departments of similar or related disciplines, generally within the same college, and/or if necessary, from academic departments of non-similar or non-related disciplines. For each vacancy on a departmental RTP Committee that must be filled in order to meet the three- person membership requirement, the department head shall prepare a list of at least two nominees, giving consideration to each nominee's expertise and familiarity with the nature of the discipline. The non-departmental committee members will then be elected by majority vote of all tenured and tenure-track faculty members within the academic department.

3. Procedures

The department head is responsible for calling an organizational meeting of the complete RTP Committee

each academic year and for providing the committee with a record of EDO reports for each faculty member being considered for reappointment, tenure, or promotion in that year. The committee will elect a chair at the first called meeting. The departmental RTP Committee shall meet for deliberation and voting on matters before it. The committee's recommendations shall be by majority vote of its members.

In principle, no member of the faculty or administrative chain involved in making recommendations for reappointment, tenure, or promotion should make recommendations on any individual case at more than one level of the review process. Accordingly, no administrator who makes recommendations should serve on a departmental RTP Committee, nor should any such administrator be present during any meeting or deliberations of the committee unless invited by a positive vote of the committee. In particular, the department head shall not be present at any meeting or during any deliberations of the departmental RTP Committee. A faculty member serving on both the departmental RTP Committee and the college-wide Tenure and Promotion Review Committee may vote on a tenure and/or promotion recommendation at only one level of the tenure and promotion review process, either at the departmental RTP Committee level or at the college-wide Tenure and Promotion Review Committee level.

For a promotion recommendation, only those members of the committee already at or higher than the rank to which promotion is being considered are eligible to consider and vote on the promotion recommendation. All promotion recommendations must be considered and voted on by at least three eligible faculty members on the committee. If the committee does not have three departmental members eligible to vote on a promotion recommendation, additional eligible non-departmental members must be selected to the committee in order to meet the three-person requirement pursuant to the process outlined in [Section 3.5.2.](#) above. Members of the committee who are eligible to consider and vote on a promotion recommendation are prohibited from consulting with departmental faculty members who are at a rank lower than the rank to which promotion is being considered. For reappointment, tenure, and promotion decisions, the committee will sit as a whole.

3.5.2. College-Wide Tenure and Promotion Review Committee

Each college shall determine and publish in its bylaws the composition, selection of membership, and procedures of the college-wide committee (or independent review committee) established for the review of tenure and promotion recommendations within the college. For a promotion recommendation reviewed by the committee, only those members of the committee already at or higher than the rank to which promotion is being considered are eligible to consider and vote on the promotion recommendation. The recommendations of the committee shall be advisory to the dean of the college.

3.6. REAPPOINTMENT OF TENURE-TRACK FACULTY

Faculty members holding tenure-track appointments are considered annually for reappointment. A tenure-track faculty member's annual reappointment review is separate from his or her annual performance evaluation, but it may be conducted concurrently with the annual performance evaluation.

3.6.1. First Year of Probationary Period

In the Spring semester of the first year of a faculty member's probationary period, the faculty member must apply for reappointment by submitting to his or her department head the faculty member's objectives for teaching, scholarship and professional/public/community service for the following year. The department head must approve the faculty member's objectives. Approved objectives will be used for the evaluation of the faculty member's performance for the second year of the faculty member's probationary period.

3.6.2. Subsequent Years of Probationary Period

In each subsequent year of a tenure-track faculty member's probationary period in which the faculty member applies for reappointment,¹ the faculty member must submit evaluation and reappointment materials to his or her department head for review. The evaluation and reappointment materials that a faculty member must submit are identified on the UTC Academic Affairs website [here](#).

1. In last year of a faculty member's probationary period (typically, Year 6), a decision regarding tenure for the faculty member is made.

3.7. REAPPOINTMENT REVIEW PROCESS

3.7.1. Regular Probationary Year Review

In each year of the tenure-track faculty member's probationary period in which the faculty member is subject to consideration for reappointment, the department head is responsible for the careful evaluation of the faculty member in determining whether to recommend reappointment of the faculty member for the following year. Departments may elect to require that the departmental RTP Committee perform the initial evaluation and recommendation on reappointment in each year of the faculty member's probationary period and provide such recommendation to the department head. To the extent a department elects to do so, the department must include such a requirement in its departmental bylaws.¹ Otherwise, the reappointment review process set forth in this [Section 3.7.1.](#) shall be followed.

Unless otherwise provided in the department's bylaws, the department head's recommendation is the initial recommendation, except for in the mid-probationary review year (i.e., typically, the third year of the probationary period). In the mid-probationary review year, the departmental RTP Committee makes an initial recommendation regarding reappointment as provided under [Section 3.7.2.](#) below.

In the event the department head recommends reappointment, the department head shall submit his or her written recommendation to the dean and inform the faculty member in writing of the recommendation. The department head's recommendation should note positive areas and areas where improvement is needed. If the dean agrees with the department head's recommendation, the faculty member shall be reappointed and the faculty member shall be notified in writing of the dean's decision.

In the event the department head makes a recommendation against reappointment, the department head must provide to the faculty member a letter stating the specific reasons for the recommendation against reappointment. The department head must also notify the RTP Committee of the academic department within five (5) days of providing the faculty member with notification of his or her recommendation. The department head should share with the departmental RTP Committee the basis and rationale for the recommendation. The departmental RTP Committee will then provide an additional written evaluation of

1. A department's adoption of such a requirement in its bylaws will modify the reappointment review process as set forth in this Section 3.7.1. only as to the levels of review and recommendation before the dean's level of review and recommendation.

the faculty member's record and recommendation. The departmental RTP Committee shall include in its evaluation the number of votes for and against reappointment.

The departmental RTP Committee's evaluation and recommendation must be provided to the department head within seven (7) days of the departmental RTP Committee's receipt of notification of the department head's recommendation. Upon receipt of the departmental RTP's evaluation, the department head shall submit his or her written recommendation to the dean along with the departmental RTP's evaluation and recommendation. If the dean does not agree with the recommendation against reappointment and decides to reappoint the faculty member, the faculty member shall be reappointed and the faculty member shall be notified in writing of the dean's decision. If the dean agrees with the recommendation against reappointment, the dean shall submit his or her recommendation against reappointment to the Provost.

Upon receipt of the dean's recommendation, the Provost will review the matter and make the final decision whether or not to reappoint the faculty member. The Provost will send a letter to the faculty member notifying the faculty member of the final decision. The Provost will also communicate to the dean, department head, and the departmental RTP Committee (if appropriate) his or her decision and rationale.

The Provost must give notice to a tenure-track faculty member that his or her appointment will not be renewed for the next year pursuant to the schedule and requirements set forth under [Section 3.7.4.](#) below.

3.7.2. Mid-Probationary Review of Probationary Faculty (Enhanced Tenure-Track Review)

In a tenure-track faculty member's mid-probationary review year (i.e., typically, the third year of the probationary period), before the department head makes his or her recommendation, the departmental RTP Committee shall conduct a full review and evaluation (i.e., Enhanced Tenure-Track Review or ETTR) of the faculty member's progress towards tenure as part of the reappointment evaluation undertaken for the faculty member for that year.²

The faculty member shall assemble a dossier thoroughly documenting progress toward tenure. The dossier

2. In the discretion of the department head, the ETTR may be performed in the fourth year of the faculty member's probationary period. A faculty member's ETTR may be performed beyond the fourth year of the probationary period if the faculty member has been granted an extension of their probationary period (with the year to be determined by the department head after consultation with the faculty member and, if applicable, the faculty member's mentor).

must include artifacts, dated after his or her appointment to UTC, that demonstrate work as a teacher;³ development as a scholar, researcher, or creator; and participation in service and other professional activities. Prior to the beginning of each academic year, the Provost shall provide a list of recommended materials which may be used for such evidence. The faculty member shall submit his or her dossier to the departmental RTP Committee for its review and evaluation.

The departmental RTP Committee shall provide to the department head a written report that will contain a list of the participating tenured faculty members; suggestions for enhancing the faculty member's progress toward tenure; the majority and minority report, if applicable; the summary anonymous vote on whether the faculty member is progressing satisfactorily toward the grant of tenure; and a recommendation for or against reappointment. Upon receipt of the departmental RTP Committee's report, the department head will present and discuss the departmental RTP Committee's report, as well as his or her own written assessment, and develop a plan to address suggested enhancement from the RTP Committee, with the faculty member. Copies of the ETTR documents will be given to the faculty member. A favorable ETTR does not commit the departmental RTP Committee, the department, or the college to a subsequent recommendation for the grant of tenure.

After meeting with the faculty member, the department head shall submit his or her written recommendation for or against reappointment to the dean along with the departmental RTP Committee's report and recommendation. The reappointment review for the faculty member's mid-probationary review year otherwise follows the same process as described under [Section 3.7.1.](#) above. An appeal regarding an ETTR may be made under the same procedures applicable to the appeal of an annual performance rating as provided under [Section 3.4.7.](#) above.

3.7.3. Roles of the Department Head and RTP Committee in the Reappointment Review Process

The roles of the department head and departmental RTP Committee in the reappointment process for a tenure-track faculty member under a typical six-year probationary period are summarized in the following chart:

3. In regard to evaluation of librarians, "librarian" should be substituted for the word "teacher".

Probationary Year	Department Head Role	RTP Committee Role
1	Establish goals and objectives for annual performance and achieving tenure	Providing input on reappointment of faculty is only required in instances where the department head recommends against reappointment*
2	Annual performance evaluation and progress toward tenure	Providing input on reappointment of faculty is only required in instances where the department head recommends against reappointment
3 Mid-Probationary Review Year (ETTR)	Annual performance evaluation and progress toward tenure	Provide input on reappointment and evaluation of faculty member's progress award tenure
4	Annual performance evaluation and progress toward tenure	Providing input on reappointment of faculty is only required in instances where the department head recommends against reappointment
5	Annual performance evaluation and progress toward tenure	Providing input on reappointment of faculty is only required in instances where the department head recommends against reappointment
6 Tenure Decision Year	Provide evaluation regarding whether faculty met departmental and University standards for awarding tenure	Provide evaluation regarding whether faculty met departmental and University standards for awarding tenure

*As provided under [Section 3.7.1.](#) above, a department may elect to require that the departmental RTP Committee provide the initial recommendation on reappointment to the department head in each year of the faculty member's probationary period.

3.7.4. Notice of Non-Reappointment

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 according to the following schedule:

1. 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;
2. In the second year of the probationary period, not later than December 15 for an academic year appointment and no less than six months in advance for any other term of appointment; and
3. In the third and subsequent years of the probationary period, not less than twelve months in advance.

These notice requirements relate only to service in a probationary period with the University. Credit for prior service shall not be considered in determining the required notice. Notice of non-renewal shall be effective upon personal delivery or upon mailing, postage prepaid, to the faculty member's residential address of record at the University.⁴

4. See Section III.E.4. of [UT Policy BT0006](#).

3.8. CHANGES TO THE APPOINTMENT

As provided under [Section 3.7.1.](#) above, a faculty member is officially notified of reappointment by letter from the Provost or the dean. A faculty member is officially notified by letter from the Provost of any other changes in the terms of the faculty member's appointment, including, but not limited to, subsequent salary decisions or changes in rank, title or assignment. Any other representations, whether oral or written, concerning adjustments or changes to a faculty member's appointment or concerning a faculty member's reappointment are unauthorized and not binding on UTC. Normally, salary decisions and other changes in employment status are made following approval of the University budget by the Board at its annual meeting in June.

3.9. TERMINATION BEFORE EXPIRATION OF APPOINTMENT TERM

A tenure-track faculty member may be terminated before the expiration of his or her annual appointment term on the same grounds and pursuant to the same procedures applicable to the revocation of tenure and termination of tenured faculty members.¹

1. The grounds and procedures for revocation of tenure and termination of tenured faculty members are set forth in Section III.J. and Appendices B and C of [UT Policy BT0006](#).

3.10. 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 (as defined under [UT Policy BT0006](#)), financial exigency, or academic program continuance. The burden of proof that tenure should be awarded rests with the faculty member. The grant of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to the University, except in the case of relinquishment or forfeiture of tenure. More information regarding the Board's policy on tenure can be found [here](#).

3.10.1. Authority to Grant Tenure

Tenure is acquired only by positive action of either the President or the Board, based on the circumstances under which tenure is sought, and is granted in a particular academic unit (department, school, or college). The Board makes the decision whether to grant tenure, based upon the recommendation of the President, to (1) all University Officers as defined in bylaws and adopted by the Board; (2) any faculty member who is to be granted tenure upon initial appointment without serving a probationary period at UTC; and (3) any faculty member to be tenured after serving less than a six-year probationary period, but not including a faculty member who has been employed by the University in a tenure-track position for six years and whose probationary period has been suspended for one or more year(s) in connection with a leave of absence or modified duties assignment under Section 3.3.4.3 above. The President makes the decision whether to grant tenure, based upon the recommendation of the Chancellor, in all other cases. The President or the Board (as applicable according to UT Policy BT0006) may grant tenure at any time during a given year, after confirming that all tenure review and recommendation procedures in Appendix A of [UT Policy BT0006](#) have been followed.

3.10.2. Eligibility for Tenure Consideration

Board policy establishes the following minimum standards for eligibility for tenure consideration:

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

appointment may be eligible for tenure consideration.¹

3.10.3. Tenure Upon Initial Appointment

No faculty member shall be granted tenure upon initial appointment except by positive action of the Board upon the recommendation of the President, which shall include documentation of compliance with all tenure review and recommendation procedures stated in Appendix A of [UT Policy BT0006](#) and as established under [Section 3.10.7](#) of this Handbook. The Board will grant tenure upon initial appointment only if (1) the proposed appointee holds tenure at another higher education institution and the Board determines that the President has documented that the proposed appointee cannot be successfully recruited to UTC without being granted tenure upon initial appointment; or (2) the Board determines that the President has documented other exceptional circumstances warranting the grant of tenure upon initial appointment. When necessary between regular meetings of the Board, the Board's executive committee may act on behalf of the Board to grant tenure upon initial appointment in accordance with the provisions of this [Section 3.10.3](#).²

3.10.4. Criteria for Tenure Consideration

The criteria for appointment and reappointment 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 of faculty members and in light of the differing ranks of faculty members. The natures of disciplines are such that they emphasize differing levels of performance and differing mixes and types of research and service. Consequently, the tenured faculty members in the disciplines in which tenure-track faculty members work will recommend the standards, degrees of emphasis, and the appropriate types of research and service required for tenure. The individual standards and criteria for tenure for each academic department must be explicitly laid out in the bylaws of the academic department.

A faculty member, at a minimum, must meet the following criteria necessary for the rank of Associate Professor in order to be granted tenure:

1. have a doctorate degree or other terminal degree in his or her discipline or present equivalent training and experience;

1. See Section III.C. of [UT Policy BT0006](#).

2. See Section III.D. of [UT Policy BT0006](#).

2. have achieved a reputation as an accomplished teacher;³
3. have achieved a good record in research, scholarly, or creative activities;
4. have an established record of effective participation in professional activities other than teaching and research;
5. have demonstrated ability to relate appropriately to students and professional colleagues; and
6. have demonstrated excellence in at least one of the three areas of responsibility (i.e., teaching, service, and research) required for full-time faculty status.

An academic department shall establish more specific criteria for tenure in that academic department that are consistent with the tenure criteria stated in [UT Policy BT0006](#) and this Handbook but may be more restrictive. Departmental criteria for tenure shall be effective upon approval of the dean and Provost and shall be published in the bylaws of the department. Departmental criteria for tenure shall not be required, however, if more-specific criteria have been established by the applicable college, and the dean and Provost have approved application of the college criteria in lieu of departmental criteria.

3.10.5. Tenure Dossier

All tenure candidates must prepare and submit a tenure dossier, which will be reviewed and inform the recommendations made at each stage of the tenure review process. The dossier is standard to the extent that it describes the way in which the candidate has met each of the respective criteria for tenure as listed in this Handbook. The departmental bylaws shall contain a statement of the required contents of the tenure dossier that is consistent with the Faculty Handbook and with applicable college bylaws, unless the dean and the Provost have approved the department's application of tenure dossier requirements established in college bylaws.

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 to the dossier may contain a summary of the candidate's EDO evaluations. The dossier should be divided into the three distinct components based on the three performance areas outlined in the EDO: (1) teaching and advising; (2) research, scholarship and creative activities; and (3) professional service to the University, profession, and community. The respective components of the dossier should include all documentation for and evidence of activities related to, respectively, the teaching, research, and service in which the candidate has engaged since the candidate's initial appointment at UTC.

3. In regard to evaluation of librarians, "librarian" should be substituted for the word "teacher".

A teaching philosophy and a record of Student Ratings of Faculty for the candidate must be included in the dossier. Other materials should be included at the discretion of the candidate, and, if possible, on the advice of the departmental RTP Committee. The departmental bylaws shall set forth information pertaining to appropriate activities of faculty members in the academic department for each of the three areas of professional responsibility.

3.10.6. Requirement for Peer Review Teaching and External Reviews

1. Peer Review of Teaching

Tenure candidates who engage in teaching will be subject to a peer review of their teaching performance as part of the tenure review process. Each academic department will establish procedures for conducting teaching peer reviews for the tenure review process and publish such procedures in its bylaws. Departmental procedures for teaching peer reviews are not required, however, if the dean and the Provost have approved application of college-wide teaching peer review procedures in lieu of departmental procedures. College-wide teaching peer review procedures approved by the dean and Provost will be published in the college bylaws.

2. External Reviews

All dossiers for tenure/promotion must include reviews from no fewer than two (2) external reviewers. Each college or academic department will establish an external review process, which will incorporate, at a minimum, the following requirements:

- The external reviewers must be in the same, or a very similar, academic field.
- The external reviewers must be tenured and at, or above, the rank that the candidate seeks.
- The external reviewers must be at a comparable institution.
- The external reviewers must not have a current conflict of interest with the candidate.
- The departmental RTP Committee and the candidate shall be jointly responsible for selecting the external reviewers.
- Neither the departmental RTP Committee nor the candidate will be permitted to contact the external reviewers during the review process. However, the external reviewers are permitted to contact the chair of the departmental RTP Committee for procedural clarifications.

Each academic department will publish its external review process in its bylaws. Departmental procedures for

external reviews are not required, however, if the dean and the Provost have approved application of college-wide external review procedures in lieu of departmental procedures. College-wide external review procedures approved by the dean and Provost will be published in the college bylaws.

The purpose of the external review is *not* to make a recommendation regarding tenure/promotion but to provide an objective evaluation of the faculty member's record to date. This external review will include the performance area of research and may also include the performance areas of teaching and service, as defined by college and departmental bylaws. It is the responsibility of the faculty member seeking tenure/promotion to demonstrate excellence in applicable areas. Examples of accomplishments or evidence of excellence include: peer-reviewed publications; presentations at major, regional, national, or international conferences; substantial contributions to regional, national or international committees or work groups; and regional and national awards/recognition for teaching, research, and professional contributions. This list is illustrative only, and is not exhaustive. Objective standards of record and of excellence will be defined through college and departmental bylaws.

3.10.7. Procedure for Consideration and Grant of Tenure

A calendar is established annually by the Provost that should be followed during the development of tenure recommendations. The calendar for the tenure review process is available on the UTC Academic Affairs website [here](#).

The candidate will be informed in writing of the progress of his or her tenure candidacy at each stage of the process. The procedure for the consideration and granting of tenure includes the following stages:

1. Submission of Tenure Dossier: The departmental RTP Committee, at its organizational meeting each academic year, will consider a list of candidates for tenure and request tenure dossiers from the candidates. The candidate shall then prepare and submit a tenure dossier to the departmental RTP Committee.
2. RTP Committee's Recommendation: After receiving and reviewing dossiers from each faculty member under consideration for tenure, the departmental RTP Committee (consisting of tenured faculty in the department) holds a preliminary review at which it has an opportunity to request clarifying information from each candidate prior to final consideration and forwarding of recommendations to the department head. The departmental RTP Committee's recommendation is decided upon by majority vote (yes or no) of those committee members present and voting. Votes will be cast anonymously. Abstentions are permitted. A quorum, as specified by departmental bylaws, is required for actions to take place, and the departmental bylaws will specify the minimum number of votes necessary to constitute a positive

recommendation. The vote of the departmental RTP Committee is advisory to the department head. The departmental RTP Committee will forward a written recommendation to the department head, together with records of committee membership, attendance at final discussions, and voting results.

3. Department Head's Recommendation: After making an independent judgment on the tenure candidacy, the department head shall submit his or her recommendation to the dean with a written summary explanation of his or her judgment, with a copy provided to the tenure candidate at the same time. If the department head's recommendation differs from the recommendation of the departmental RTP Committee, the summary must explain the reasons for the differing judgment, and the department head must provide a copy of the summary to the departmental RTP Committee. The departmental RTP Committee may forward a dissenting report to the next level of review, with a copy provided to the tenure candidate at the same time.
4. Dean's Recommendation: All tenure recommendations of the department head, whether positive or negative, shall be reviewed by the dean. The dean must establish a college-wide committee for review of tenure and promotion recommendations or, if a college-wide committee is not established, some other independent peer review committee in addition to the departmental RTP Committee's review. The recommendation of such a college-wide committee shall be advisory to the dean. After making an independent judgment on the tenure candidacy, the dean shall forward his or her recommendation and a summary explanation for the recommendation to the Provost, with a copy provided to the tenure candidate at the same time.
5. Provost's Recommendation: 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 recommendation and a summary explanation for the recommendation to the Chancellor, with a copy provided to the tenure candidate at the same time.
6. Chancellor's Recommendation: 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, with a summary explanation for the recommendation, to the President, with a copy provided to the tenure candidate at the same time.
7. President's Action or Recommendation: The President acts only on the Chancellor's positive recommendation for tenure. If the President concurs in the positive recommendation, he or she shall grant tenure if he or she is authorized to do so, and the Chancellor shall give the faculty member written notice of the effective date of tenure. If only the Board is authorized to grant tenure, the President shall submit the recommendation to grant tenure and a summary explanation for the recommendation to the Board. If the President does not concur in the positive recommendation of the Chancellor, the Chancellor shall give the faculty member written notice that tenure will not to be granted.
8. Action by the Board when Required: Only the Board is authorized to grant tenure in certain cases specified in Article III.B. of [UT Policy BT0006](#). In those cases, the Board acts only on the President's

positive recommendation for tenure. After positive action by the Board to grant tenure, the President shall give the faculty member written notice of the effective date of tenure.

3.10.8. Appeal of Tenure Decisions

A decision not to grant tenure may be appealed by a tenure candidate pursuant to the appeal procedure under [Section 5.3](#) of this Handbook. A tenure candidate may not initiate an appeal until after the candidate receives notification of the Chancellor's recommendation not to grant tenure.

3.10.9. Locus of Tenure

Tenure is granted in a particular academic unit (e.g., department, school) of UTC in a position appropriate to the faculty member's qualifications. Reorganizations that result in the merger or splitting of departments do not affect the tenure or probationary status of the faculty member involved.

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

Transfers of tenure between departments at UTC do not require the President's approval, but must be approved by the responsible campus administrators in consultation with the tenured faculty of the receiving unit, with notice to the President. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted, in writing, by the transferring faculty member. If a non-tenured faculty member transfers from one existing department to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented and accepted, in writing, by the transferring faculty member. If a tenured faculty member accepts a part-time faculty position or an administrative position with UTC, neither of which can carry tenure, the faculty member retains tenure in the full-time faculty position he or she vacated.⁴

4. Section III.H. of [UT Policy BT0006](#).

3.10.10. Grounds for Termination of Tenure

1. Relinquishment or Forfeiture of Tenure

A tenured faculty member relinquishes tenure upon resignation or retirement from the University.⁵ 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.⁶

(1) Resignation

Faculty members who desire to resign should provide written notice to their department head of their intent to resign and their intended resignation date. The department head will forward the resignation notice to the dean. Except as otherwise provided in this section, the dean will accept the resignation in writing and forward it to the Office of Human Resources with a copy to the Provost. 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 UTC to cover any of the faculty member's scheduled assignments. If a faculty member seeks to resign before the end of the faculty member's stipulated appointment term, the acceptance of the resignation will not become official until accepted in writing by the Provost (or the Provost's designee).

(2) Retirement

Faculty members who wish to retire are expected to provide written notice to their department head of their intention to retire and date of expected retirement at least three months before the intended retirement date. The department head will forward the retirement notice to the dean, Provost and the Office of Human Resources. There is no mandatory retirement age for faculty members, and under normal circumstances, a faculty member controls the decision to retire. The effective date of retirement for faculty members on academic year (nine-month) appointments normally will be at the end of either the Fall or Spring semester.

5. Under [UT Policy BT0006](#) and for purposes of this section, the "University" refers to The University of Tennessee System.

6. Section III.J.1.a. of [UT Policy BT0006](#).

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 UTC shall be followed. In the case of academic program discontinuance, the criteria and procedures outlined in [UT Policy BT0009 – The University of Tennessee Procedural Framework for Academic Program Discontinuance](#) shall be followed, and the termination of tenured faculty may take place only after consultation with the faculty through appropriate committees of the department, the college, and the Faculty Senate. If termination of tenured faculty positions becomes necessary because of financial exigency or academic program discontinuance, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member. The position of any tenured faculty member displaced because of financial exigency or academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer.⁷

A decision to terminate a faculty member due to financial exigency or academic program discontinuance may be appealed by the faculty member pursuant to the appeal procedure under [Section 5.4.4.](#) of this Handbook.

3. Adequate Cause

“Adequate Cause” for terminating a tenured faculty member means the following:

1. Unsatisfactory Performance in Teaching, Research, or Service, which includes the following and similar types of unsatisfactory performance:
 - a. failure to demonstrate professional competence in teaching, research, or service;
 - b. failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to failure to comply with a lawful directive of the department head, dean, or Provost with respect to the faculty member’s duties or responsibilities;
 - c. inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;

7. Section III.J.1.b. of [UT Policy BT0006](#).

- d. loss of professional licensure if licensure is required for the performance of the faculty member's duties;
 - e. with respect to members of the Health Sciences Center faculty, failure to be granted or loss of medical staff membership and privileges at affiliated teaching hospitals;
 - f. loss of appointment (or substantive alteration of the faculty member's work) with an affiliated entity unless approved in advance by the Provost (or designee) (for example, loss of employment with an affiliated medical practice or loss of "joint faculty" support from Oak Ridge National Laboratory;
 - g. as specified in Appendix D to [UT Policy BT0006](#), cessation of employment with an external entity/primary employer if tenure was granted contingent upon remaining employed by the external entity/primary employer; or
 - h. dishonesty or other serious violation of professional ethics or responsibility in teaching, research, or service; or serious violation of professional responsibility in relations with students, employees, or members of the community.
2. Misconduct, which includes the following and similar types of misconduct:
- a. failure or persistent neglect to comply with University policies, procedures, rules, or other regulations, including but not limited to violation of the University's policies against discrimination and harassment;
 - b. falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;
 - c. theft or misappropriation of University funds, property, services, or other resources;
 - d. admission of guilt or conviction of: (i) a felony; or (ii) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration; or
 - e. any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.⁸

3.10.11. Other Tenure-Related Policies

The following tenure-related matters are established by Board policy:

- 1. Exception to Policy Requiring Full-Time Status for Eligibility for Tenure⁹
- 2. Disciplinary Sanctions Other Than Termination¹⁰

8. Section III.J.1.c. of [UT Policy BT0006](#).

9. See Appendix D of [UT Policy BT0006](#).

3. Termination Procedures for Unsatisfactory Performance in Teaching, Research, or Service¹¹
4. Termination Procedures for Misconduct¹²

Additionally, University policy regarding the awarding of Emeritus Status is found at [UT Policy HR0102 – Emeritus Status](#).

10. See Section III.K. of [UT Policy BT0006](#) and [Sections 5.4.2.3](#) and [5.4.2.4](#) of this Handbook.

11. See Appendix B of [UT Policy BT0006](#) and [Section 5.4.2.1](#) of this Handbook.

12. See Appendix C of [UT Policy BT0006](#) and [Section 5.4.2.2](#) of this Handbook.

3.11. PROMOTION

3.11.1. Guidelines for Promotion

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

At UTC, promotion is usually tied to tenure for tenure-track faculty members, as application for tenure is usually linked to application for promotion from the rank of Assistant Professor to the rank of Associate Professor. A tenure-track faculty member at the rank of Assistant Professor must be granted tenure in order to be promoted to the rank of Associate Professor. A tenure-track faculty member initially appointed at the rank of Associate Professor or higher may be granted tenure without receiving a promotion.

Faculty members who wish to be promoted should meet the expectations of the new rank as outlined in the criteria for appointment to rank. In regard to librarian faculty, “librarian” should be substituted for the word “teacher.”

3.11.2. Procedure for Promotion Review

A calendar is established annually by the Provost that should be followed during the development of promotion recommendations. The calendar for the promotion process is available on the UTC Academic Affairs webpage [here](#).

The procedure for consideration of and awarding promotion includes the following stages:

1. Submission of Promotion Dossier: The candidate prepares and submits a promotion dossier to the departmental RTP Committee. Similar to tenure dossiers, all promotion dossiers must include reviews from no fewer than two (2) external reviewers pursuant to the external review process established by the college or academic department (*see* [Section 3.10.4.2](#) above).
2. RTP Committee’s Recommendation: After receiving and reviewing dossiers from each faculty member applying for promotion, the departmental RTP Committee (consisting of faculty already at or higher rank than the rank the candidate seeks) holds a preliminary review at which it has an opportunity to request clarifying information from each candidate prior to final consideration and forwarding of

recommendations to the department head. The departmental RTP Committee's recommendation is decided upon by majority vote (yes or no) of those committee members present and voting. Abstentions are permitted. A quorum, as specified by departmental bylaws, is required for actions to take place. The departmental RTP Committee will forward a written recommendation to the department head, together with records of committee membership, attendance at final discussions, and voting results.

3. Department Head's Recommendation: The 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 recommends those to be approved to the President. The Chancellor will inform the candidate in writing of the recommendation.
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 awarding promotions. The President informs the Board of the promotions awarded.

3.11.3. Appeal of Promotion Decisions

A decision not to award promotion may be appealed by a promotion candidate pursuant to the appeal procedure under [Section 5.3](#) of this Handbook. A promotion candidate may not initiate an appeal until after the candidate receives notification of the Chancellor's recommendation not to award promotion.