

Manual for Faculty Evaluation

**The University of Tennessee, Knoxville
2014**



**Office of the Provost
and
Senior Vice Chancellor for Academic Affairs**

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Introduction: General Information and Guidelines for Using this Manual

The *Manual for Faculty Evaluation* is a collaborative effort involving the Faculty Senate Faculty Affairs Committee, the Office of the Provost, the Faculty Ombudsperson, the Council of Deans, and the Office of the General Counsel. The provisions of this manual are meant to be read in conjunction with the *Faculty Handbook* and the published policies of The University of Tennessee Board of Trustees. If any provision of the manual conflicts with any provision of the handbook or board policy, the *Faculty Handbook* and The University of Tennessee Board of Trustees' Policy control. This manual contains material that applies to all faculty members in the University of Tennessee, Knoxville, faculty in the University of Tennessee Institute of Agriculture, and faculty at the University of Tennessee Space Institute.

In this manual, the term “department” is used to designate the smallest academic unit of the University. In some cases, this unit may be denominated a school or college rather than a department. “Department head” refers to the department’s highest ranking academic administrator and includes administrators with other titles, such as director or dean, who perform the duties of a unit administrator. Accordingly, the responsibilities of the department head may be executed by directors, deans, or other academic administrators. The term “bylaws” is used in this manual to designate the unit’s core procedures and policies that have been ratified by the majority of the tenured and tenure-track faculty of the unit. Although certain academic units do not refer to their core procedures and policies as “bylaws,” the term is nevertheless intended to reference those procedures and policies, however denominated. Colleges not organized into departments or with a small number of departments are encouraged to work with the Office of the Provost to adapt the procedures in this manual.

The Faculty Evaluation Calendar is published at the beginning of each academic year on the Chancellor’s web site (<http://chancellor.tennessee.edu/tenure>). This calendar contains the timelines and reporting deadlines for all the review and evaluation processes described in this manual.

Many of the procedures in this manual require affirmative action or participation by the faculty member who is being reviewed, evaluated, or considered for promotion or tenure. The manual contemplates a good faith effort on the part of the faculty member in complying with the provisions of the manual. A lack of a good faith effort may be properly taken into consideration in the retention review, annual review, cumulative review, or tenure and promotion process.

As noted in the *Faculty Handbook*, the advising and mentoring of students are important aspects of a faculty member’s role as an effective teacher. Thus, in each and every process outlined within this manual, any evaluation of the effectiveness of a faculty member’s teaching should, when appropriate, include consideration of the faculty

member's advising and mentoring activities. The faculty of each unit should define in the unit's bylaws clear expectations for advising and mentoring activities within the unit and the methods by which these activities are to be evaluated.

Faculty and administrators are encouraged to participate in the University's Quality Enhancement Plan for International and Intercultural Awareness, now called *Ready for the World*. This initiative provides that discussion of the importance of international/intercultural expertise and experience should be incorporated into tenure, promotion, and annual review statements.

The appeal process available to faculty members is described in chapter 5 of the *Faculty Handbook*. A faculty member may initiate an appeal after receiving notice of a final administrative decision concerning any of the evaluation processes in this manual.

Revisions to the Manual for Faculty Evaluation, if any, are made in consultation with and the approval of the Faculty Senate Faculty Affairs Committee and the Faculty Senate Executive Committee for final approval by the full Faculty Senate.

PART I - ANNUAL RETENTION REVIEW OF TENURE-TRACK FACULTY

A. GENERAL INFORMATION

1. Annual Review Process and Retention Review

Department heads evaluate tenured and tenure-track faculty members annually. For information on the annual review of faculty, please refer to Part II of this manual. In accordance with the *Faculty Handbook* (3.8.2; 3.11.3.4), tenure-track faculty members receive an annual retention review in addition to (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with) the annual performance and planning review. The specific criteria for the evaluation and review of tenure-track faculty must be described in collegiate and/or departmental bylaws.

2. Annual Retention Review Process for Tenure-Track Faculty

a. **Schedule for retention reviews.** The annual retention review will take place in each year of the probationary period leading up to (but not including) the year of tenure consideration. For the schedule of due dates for retention reviews in a given academic year, please consult the Faculty Evaluation Calendar. Each tenure-track faculty member with a probationary period of four or more years shall undergo an enhanced retention review in the academic year following the midpoint in his or her probationary period (typically, the faculty member's fourth year of employment). A tenure-track faculty member with a probationary period of less than four years may request that the tenured faculty provide him or her with an enhanced retention review in any one year of the probationary period up to (but not including) the faculty member's year of tenure consideration. The procedures for regular and enhanced retention reviews are set forth in Section B of this Part I.

b. **Recommendation form.** The retention review process is documented using the Retention Review side of the Faculty Annual Review Report attached at Appendix A to this manual (the "Retention Review Form"). For each tenure-track faculty member at The University of Tennessee, Knoxville, the University Institute of Agriculture, and the University of Tennessee Space Institute, the Retention Review Form will be completed at and transmitted from the faculty member's department in the fall semester of each academic year, as set forth in the Faculty Evaluation Calendar.

c. **English language competency.** The University of Tennessee Board of Trustees mandates that each candidate for tenure and promotion who is not a native speaker of English be certified as competent to communicate in English. The department head monitors effectiveness in communication in English in the annual retention review process. Should student evaluations or other indicators suggest that the faculty member's English language communication is not effective, the department head will work with the

faculty member to identify areas for improvement and to develop, as appropriate, a plan for improving the faculty member's skills in English language communication.

3. Mentor

The department head assigns a faculty mentor or a mentoring committee for each tenure-track faculty member. The mentor should be a senior member of the same department or another unit, who can serve as a model and as a source of information for the tenure-track faculty member. Department heads should not serve as mentors for faculty within their own departments. The mentor or mentoring committee may participate in the annual retention review in a manner to be determined in collegiate and/or departmental bylaws (see the Best Practices for Faculty-to-Faculty Mentoring in the *Resources Manual*).

B. PROCEDURES FOR RETENTION AND NON-RETENTION

1. Departmental Retention Review Process for Tenure-Track Faculty

a. Preparation for the retention review. Except in years in which an enhanced retention review occurs (as provided for in paragraph A.2.a. of this Part I), the faculty member prepares and submits to the department head (for distribution to the tenured faculty) a written summary of his or her accomplishments in teaching, research / scholarship / creative activity, and service for the previous academic year in accordance with departmental bylaws. The department head requests this summary in writing from each tenure-track faculty member on behalf of the tenured faculty at least two weeks before it is needed for the review. It is expected that, at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, the Faculty Activity Report submitted to the department head in accordance with paragraph B.2.b. of Part II of this manual will serve as the summary required under this paragraph.

In the year in which an enhanced retention review occurs (as provided for in paragraph A.2.a. of this Part I), the faculty member shall, with the guidance and counsel of the department head, prepare and submit to the department head (for distribution to the tenured faculty) a file on her or his cumulative performance, reflecting her or his degree of progress in satisfying the requirements for tenure in teaching, research / scholarship / creative activity, and service. The file (which shall be prepared by the faculty member as a preliminary draft of the faculty member's file in support of a tenure dossier) shall contain: the faculty member's Faculty Activity Reports submitted to the department head in accordance with paragraph B.2.b. of Part II of this manual, computer-tabulated teaching evaluations, and annual retention reports compiled during the faculty member's probationary period; copies of research / scholarship / creative activity published or otherwise completed during the probationary period; teaching materials; evidence of research / scholarship / creative activity work in progress; a statement prepared by the faculty member describing other research / scholarship / creative activity in progress but not included in the file, a summary of service to the department, college, University, and other relevant constituencies; and any other materials that the department head requests or the faculty member desires to make available to the tenured faculty.

Faculty members also may be required or permitted to submit other materials in accordance with collegiate and/or departmental bylaws. The department head shall make the materials prepared and submitted in accordance with this paragraph B.1.a. available to the tenured faculty in advance of the meeting on retention.

b. Review by the tenured faculty. The tenured faculty will review the summary submitted by the faculty member in accordance with Part I.B.1.a and, as provided in collegiate and/or departmental bylaws, solicit input from the faculty member's mentor or mentoring committee. The tenured faculty then will construct a narrative that describes and discusses both (i) the faculty member's ability to sustain a level of activity that comports with the department's expectations for faculty members at the rank of the faculty member under review and (ii) the faculty member's progress toward promotion and tenure in the context of the *Faculty Handbook*, this manual, his or her appointment, and departmental bylaws. The review and narrative should specifically address (among other things) the faculty member's establishment and development of teaching methods and tools, program of disciplinary research / scholarship / creative activity, and record of institutional, disciplinary, and professional service, as well as progress toward promotion (where applicable) and tenure. The tenured faculty's review and narrative only shall rely on and include documented and substantiated information available to the tenured faculty at the time of the review and shall not be based on rumor or speculation.

c. The vote of the tenured faculty. The tenured faculty will take a formal retention vote. In the years before any enhanced retention review (as provided for in paragraph A.2.a. of this Part I), this vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research / scholarship / creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review. Beginning in the year in which the tenure-track faculty member is the subject of the enhanced retention review process (or, for a faculty member who is exempt from the enhanced retention review process, in every year of his or her probationary period, even if he or she chooses to undergo a voluntary enhanced retention review in any year), the tenured faculty's vote on retention shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University. The tenured faculty will share the vote and the written narrative with the faculty member and the department head.

d. The department head's review. The department head conducts an independent retention review based upon the faculty member's written summary, the written narrative and vote of the tenured faculty, and a scheduled meeting with the faculty member. The department head shall attach the tenured faculty's vote and narrative (as provided in paragraph B.1.c. of this Part I) to the Retention Review Form. In conducting his or her independent retention review, the department head also may have other consultations with the tenured faculty as needed.

e. **The department head's report.** The department head makes an independent recommendation on retention and reports this recommendation on the Retention Review Form. The department head's report includes a written recommendation to the dean as to retention or non-retention, including an evaluation of performance that uses the ratings for annual performance and planning reviews (see Part II)—from “exceeds expectation” to “unsatisfactory.” The department head signs the Retention Review Form.

i. If a retention review results in a recommendation by the department head to retain the tenure-track faculty member, the department head shall ensure that the written report includes express guidance to the faculty member on ways to improve performance.

ii. If the retention review results in a recommendation by the department head not to retain the tenure-track faculty member, the department head includes in the report specific reasons for that decision.

f. **Dissemination of the Retention Review Form.** The department head will provide to the faculty member a copy of the finalized Retention Review Form, including the department head's retention report and recommendation. The department head will furnish to the tenured faculty a copy of the department head's retention report and recommendation.

g. **Dissenting statements.** Any member of the tenured faculty may submit a dissenting statement to the department head. A copy of the dissenting statement will be furnished to the faculty member under review. The dissenting statement will be attached to the Retention Review Form.

h. **Faculty member's review and signature on the Retention Review Form.** The faculty member reviews the Retention Review Form. The faculty member's signature indicates that she or he has read the entire evaluation, but the signature does not necessarily imply agreement with its findings.

i. **Faculty member's response.** The faculty member under review has the right to submit a written response to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements. The faculty member shall be allowed two weeks from the date of receipt from the head of the finalized Retention Review Form and its complete set of attachments to submit any written response. If no response is received after two weeks of the date of receipt, the faculty member relinquishes the right to respond.

j. **Transmission of the Retention Review Form.** The department head will forward to the dean the finalized Retention Review Form, together with the department head's report and recommendation, the retention vote and the narrative of the tenured faculty, and all dissenting statements and responses.

2. Dean's Review of the Retention Review Form

a. The dean's review and recommendation. The dean makes an independent review and recommendation on retention after reviewing the materials referred to in Part I. B.1.j. The dean shall prepare a statement summarizing his or her recommendation when it differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate.

b. Transmission of the dean's recommendation and statement. The dean will indicate his or her recommendation for retention or non-retention on the Retention Review Form, sign the Retention Review Form, attach his or her statement, if any, and forward the Retention Review Form with its complete set of attachments to the chief academic officer. The dean will send a copy of his or her recommendation and statement, if any, to the department head and the faculty member.

c. Faculty member and department heads right to respond. Each of the faculty member and the department head has the right to submit a written response to the dean's retention recommendation or any accompanying statement. Any response by the faculty member should be copied to the dean and the department head. Similarly, any response by the department head should be copied to the dean and the faculty member. The dean shall include any response by the faculty member or department head in the materials forwarded to the chief academic officer under subparagraph d. of this Part I.B.2. The faculty member and the department head will be allowed two weeks from the date of receipt of the dean's recommendation to submit any written response. If no response is received after two weeks from the date of receipt, the faculty member or department head, as applicable, relinquishes the right to respond.

d. Transmitting the retention recommendation. The dean forwards the retention recommendation and any accompanying statement for each faculty member, together with any attachments and any written responses received from the faculty member and the department head, to the chief academic officer by the deadline established in the Faculty Evaluation Calendar.

3. Chief Academic Officer's Review of Recommendations for Retention

a. The chief academic officer's review. The chief academic officer shall review all retention recommendations, make the final decision on retention, and indicate his or her decision on retention on the Retention Review Form. The chief academic officer signs the Retention Review Form and sends a copy of the fully executed Retention Review Form to the faculty member with copies to the dean and department head.

b. Notification in cases of non-retention. If the chief academic officer decides that the faculty member will not be retained, the chief academic officer will notify the faculty member receiving the negative decision in accordance with notification requirements described in the *Faculty Handbook* and the Faculty Evaluation Calendar. The chief academic officer will attach to the Retention Review Form a written statement

of the reasons for the non-renewal decision. The chief academic officer's statement, together with any subsequent correspondence concerning the reasons, becomes a part of the official record.

PART II - ANNUAL PERFORMANCE REVIEW OF TENURED AND TENURE-TRACK FACULTY

A. GENERAL INFORMATION

1. Policies Governing Annual Review. Policies adopted by The University of Tennessee Board of Trustees require that each faculty member and his or her department head engage in a formal annual performance-and-planning review. Each faculty member's annual performance-and-planning review must proceed from guidelines and criteria contained in Section 3.8.1 of the *Faculty Handbook*, this manual, and collegiate or departmental bylaws.

2. Goals of the Annual Review. The goals of the annual performance-and-planning review are set forth in Section 3.8.1 of the *Faculty Handbook*.

3. Timetable for Annual Review. Each faculty member at The University of Tennessee, Knoxville and the University of Tennessee Space Institute is evaluated annually on his or her performance during the previous three academic years. Each faculty member at the University of Tennessee Institute of Agriculture is evaluated annually on his or her performance during the previous three calendar years. In either such case, the three-year period is referred to as the "Evaluation Period." For each tenured or tenure-track faculty member at The University of Tennessee, Knoxville or the University of Tennessee Space Institute, the Annual Review side of the Faculty Annual Review Report attached at Appendix A to this manual (the "Annual Review Form") will be completed at and transmitted from the faculty member's department in the fall semester of each academic year, as set forth in the Faculty Evaluation Calendar. For each tenured or tenure-track faculty member at the University of Tennessee Institute of Agriculture, the Annual Review Form will be completed in the spring semester of each academic year, as set forth in the Faculty Evaluation Calendar

4. Articulation with the Retention Review. Tenure-track faculty members undergo the annual retention review process described in Part I of this manual as well as an annual review. The retention review process for tenure-track faculty members at The University of Tennessee, Knoxville and the University of Tennessee Space Institute shall be coordinated with the annual review process described in this Part II, and the results of the retention review process shall be recorded on the appropriate side of the Faculty Annual Review Report (see paragraph B.4. of this Part II and Appendix A of this manual).

5. No *Ex Parte* Communications During Annual Review Process. The annual review process exists to provide fair and objective feedback and relevant support to faculty members on a regular and constructive basis. Accordingly, the procedures for the annual review are designed to create and preserve specific lines of communication between faculty and administrators. As a means of preserving this process, until the Annual Review Form has been returned to the faculty member by the Chief Academic Officer in accordance with Part II.B.9., neither the faculty member under review nor any

administrator managing or conducting the review is permitted to communicate substantive information about the review with others employed by the University, whether participating in or outside the review process, except as specified in the *Faculty Handbook* or this manual or as agreed between the faculty member and the department head. For example, a department head shall not communicate with a dean about the substance of a faculty member's review except through the Annual Review Form. Nothing in this paragraph is intended to prohibit a faculty member under review from (a) consulting with his or her mentor regarding the substance or process of the review, as provided for in the "BEST PRACTICES FOR FACULTY-TO-FACULTY MENTORING" in the *Resources Manual*, (b) consulting with a University ombudsperson, (c) consulting with representatives of the Office of Equity and Diversity, or (d) pursuing possible rights of appeal available under Chapter 5 of the *Faculty Handbook*.

B. PROCEDURES FOR THE ANNUAL REVIEW OF FACULTY

1. Initiating the Annual Review Process. The department head manages the process of annual review of tenured and tenure-track faculty in a timely way to ensure compliance with all deadlines for submission of the review forms to the dean and chief academic officer.

a. **Scheduling the annual review conference.** The department head should schedule the annual review conference with each tenured and tenure-track faculty member at least two weeks in advance of the date to allow faculty adequate notice to prepare the required materials.

b. **Preparing for the review conference.** The department head will inform the departmental faculty of the materials that should be prepared and submitted before the conference and the format to be used for submission of materials for the review, in each case as set forth in paragraph B.2. of this Part II.

2. Documents Prepared by the Faculty Member. The faculty member prepares a written summary of work in teaching, research/scholarship/creative activity, and service. The summary includes work accomplished during the Evaluation Period. Except as otherwise noted at the end of this paragraph 2, it is suggested that each faculty member under review provide to the department head review materials which contain at least the following:

a. summary of the past year's plans and goals developed at the previous year's annual review;

b. a summary of the faculty member's activities and accomplishments during the Evaluation Period in teaching, research/scholarship/creative activity, and service, in accordance with Section 3.8.1 of the *Faculty Handbook* (the "Faculty Activity Report"), the form and content of which shall be determined based on college and department

bylaws, but each of which should include evidence, if any, of international and intercultural expertise or experience;

c. a list of specific plans and goals for the upcoming year;

d. any documentation requested by the department head or required by departmental or collegiate bylaws that evidences the faculty member's activities during the Evaluation Period, which may include information supporting accomplishments in teaching, research/scholarship/creative activity, and service;

e. a completed, signed copy of the Faculty External Compensation and Consulting Annual Report Form (see Appendix A of this manual and Section D. of this Part II); and

f. a current *curriculum vitae*.

Collegiate or departmental bylaws may require that less extensive review materials be submitted by a tenured faculty member who (i) received an overall rating in his or her most recent annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (ii) is not under a Cumulative Performance Review (as described in Part V of this manual). A faculty member meeting the criteria set forth in clauses (i) and (ii) of the preceding sentence is in "Good Standing."

3. The Department Head's Evaluation. The faculty member and the department head have a scheduled conference (a) to discuss the faculty member's (i) goals for the previous year and (ii) accomplishments during the Evaluation Period and (b) to formulate goals for the faculty member for the coming year.

4. Preparation of the Annual Review Form. The department head documents his or her review of each faculty member on the Faculty Annual Review Form with attachments if necessary. The department head signs the Annual Review Form. The Annual Review Form should include the components set forth below as applicable.

a. The department head writes a narrative describing and discussing the faculty member's progress on his or her goals for the previous year and the performance of the faculty member in the areas of teaching, research/scholarship/creative activity, and service during the Evaluation Period, in each case, based on procedures and standards set forth in the *Faculty Handbook*, this manual, and the departmental bylaws ("Progress and Performance Narrative"). The Progress and Performance Narrative also outlines goals for the faculty member for the coming year and should include evidence, if any, of international and intercultural expertise or experience. The department head's review and the Progress and Performance Narrative only shall rely on and include documented and substantiated information available to the department head at the time of the review and shall not be based on rumor or speculation.

b. The department head may, but is not required to, write a Progress and Performance Narrative for a faculty member in any year in which the faculty member is

in Good Standing, unless (i) the faculty member requests that the department head write a Progress and Performance Narrative in that year or (ii) it has been three years since the department head has written a Progress and Performance Narrative for that faculty member. In any year in which the department head does not write a Progress and Performance Narrative for a faculty member as permitted by the previous sentence, the department head shall attach to the Annual Review Form that faculty member's Faculty Activity Report.

c. The department head indicates on the Annual Review Form whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

5. Reviewing and Signing the Annual Review Form. The department head gives the Annual Review Form to the faculty member, who reviews and signs it. The faculty member's signature indicates that he or she has read the entire Annual Review Form, but the signature does not necessarily imply agreement with the Progress and Performance Narrative, performance evaluation, or other contents.

6. Responding to the Annual Review Report. The faculty member may prepare a written response to the Annual Review Form. This response should be copied to the department head, and the department head shall include it in the materials forwarded to the dean under paragraph 7 of this Part II.B. The faculty member shall be allowed two weeks from the date of receipt of the finalized Annual Review Form from the department head to submit any written response. If no response is received by the department head after two weeks from the date the faculty member receives the Annual Review Form from the department head, the faculty member relinquishes the right to respond.

7. Transmitting the Evaluation. The department head forwards to the dean the Annual Review Form and any attachments. The department head also forwards any written response received from the faculty member.

8. The Dean's Review of the Annual Review Form.

a. **Reviewing and signing the review forms.** The dean reviews the Annual Review Forms submitted by each department head and signs the Annual Review Forms, indicating either concurrence with or dissent from the department head's rating of each faculty member.

b. **Dissent from the department head's rating.** In cases where the dean does not concur with the department head's rating, the dean (i) assigns a different rating, indicating whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that

faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks), and (ii) prepares a written rationale summarizing the reasons for his or her dissent from the department head's rating. Copies of the dean's rating and rationale must be forwarded to the faculty member and the department head.

c. Faculty member's and department heads right to respond. Each of the faculty member and the department head has the right to submit a written response to the dean's rating or the accompanying rationale. Any response by the faculty member should be copied to the dean and the department head, and the dean shall include it in the materials forwarded to the chief academic officer under subparagraph d. of this Part II.B.8. Similarly, any response by the department head should be copied to the dean and the faculty member, and the dean shall include it in the materials forwarded to the chief academic officer under subparagraph d. of this Part II.B.8. The faculty member and department head will be allowed two weeks from the date of receipt of the dean's rating and rationale to submit any written response. If no response is received after two weeks from the date of receipt of the dean's rating and rationale, the faculty member or department head, as applicable, relinquishes the right to respond.

d. Transmitting the Annual Review Forms. The dean forwards the Annual Review Form for each faculty member, together with any attachments and any written responses received from the faculty member and the department head, to the chief academic officer by the deadline established in the Faculty Evaluation Calendar. In addition, the dean prepares a spreadsheet listing all faculty and the ratings for each (exceeds expectations, meets expectations, needs improvement, unsatisfactory), organized by academic department, and forwards the spreadsheet to the chief academic officer with the Annual Review Forms.

9. Chief Academic Officer's Review of the Annual Review Forms. The chief academic officer reviews the Annual Review Forms, indicates a final decision on the rating to be assigned to the faculty member (exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, unsatisfactory for his or her rank), and signs the form. Fully executed copies of the Annual Review Form will be returned to the faculty member, the department head, and the dean. In cases where the chief academic officer does not concur with the rating given by the dean, the chief academic officer (a) assigns a different rating, indicating whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks), and (b) prepares a narrative summarizing the reasons for his or her dissent from the dean's rating. Copies of the chief academic officer's rating and narrative must be forwarded to the faculty member, the dean, and the department head.

C. FOLLOW-UP IN CASES OF NEEDS IMPROVEMENT OR UNSATISFACTORY RATINGS

Faculty members who receive notice from the chief academic officer that they have received ratings of “needs improvement” or “unsatisfactory” must develop a plan of improvement and submit the plan to the department head within 30 days of receipt of the fully executed Annual Review Form (as described in Part II.B.9 of this manual). The faculty member has the responsibility of developing a written response for each area needing attention in the Annual Review Form, including the goals and benchmarks for improvement and the resources, if any, to be allocated for this purpose. The faculty member will follow up on this plan at subsequent annual reviews.

1. Administrative Review of the Plan of Improvement. The department head will review each plan of improvement developed and submitted by a faculty member under this Part II.C. The department head must approve the plan before forwarding it to the dean for approval. The dean must approve the plan before forwarding it to the chief academic officer for approval. The chief academic officer will notify the dean, department head, and faculty member of his or her approval of the plan. The department head has primary responsibility for monitoring the progress of the faculty member in accordance with standards and procedures established in the departmental bylaws.

2. Following up on the Plan of Improvement

a. Progress reports. To permit the department head to monitor the progress of the faculty member, the faculty member should submit to the department head periodic updates on progress on the goals and benchmarks established in the improvement plan, in the form and at the times requested by the department head. The first annual review following a review rating indicating that the faculty member’s performance needs improvement or is unsatisfactory shall include a report that clearly describes progress in any area(s) needing improvement or noted as unsatisfactory.

b. Cumulative Performance Review. Cumulative performance reviews for tenured faculty are triggered by the rating from the annual review. A faculty member whose performance is found to be unsatisfactory for his or her rank in two out of five consecutive annual reviews or whose reviews in any three of five consecutive years indicate performance that needs improvement for his or her rank or is unsatisfactory for his or her rank shall undergo a cumulative performance review. This process is described in Part V of this manual.

3. Rating of Unsatisfactory. A faculty member who receives a rating of unsatisfactory shall be ineligible for rewards.

D. COMPENSATED OUTSIDE ACTIVITIES

As outside compensated activities are not part of the full-time commitments of a faculty member, they cannot be substituted for commitments of a faculty member to teaching, research/scholarship/creative activity, and service within the University.

Correspondingly, the annual review of the performance of a faculty member is based only on her/his regular responsibilities and duties as part of her/his full-time commitments to the University which are negotiated annually and must be consistent with the *Faculty Handbook* and applicable bylaws. Should a faculty member wish to pursue compensated outside activities, the faculty member and her/his department head must agree about the faculty development benefits that will be gained by the planned activities, as part of the annual review process. (Faculty members should review and ensure they comply with the full policy on Compensated Outside Services in Chapter 7 of the *Faculty Handbook*.)

PART III - TENURE AND/OR PROMOTION REVIEW

A. GENERAL INFORMATION

The *Faculty Handbook* and the Board of Trustees of The University of Tennessee *Policies Governing Academic Freedom, Responsibility, and Tenure* govern tenure and promotion. Part III of this manual describes the process of review for tenure and/or promotion. Part IV contains instructions for the assembly of the tenure and/or promotion dossier. Appendix B contains explanations, examples, and sample forms of the materials contained in the dossier.

1. Definition of Tenure. Tenure is a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for adequate cause, financial exigency, or academic program discontinuance.

2. Burden of Proof. The burden of proof that tenure should be awarded rests with the faculty member. The award of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to the university.

3. Role of the Board of Trustees and Location of Tenure. Tenure at The University of Tennessee, Knoxville is acquired only by positive action of the Board of Trustees, and is awarded in a particular department, school, college, or other academic unit and any successor department in case of merger or alteration of departments.

4. Promotion

a. Generally, assistant professors will be considered for promotion to the rank of associate professor at the same time as they are considered for tenure.

b. Associate professors serve at least five years in rank before promotion to full professor. Exceptions to this policy require approval by the chief academic officer.

B. PROBATIONARY PERIOD FOR TENURE-TRACK FACULTY

1. Establishing the Probationary Period. A tenure-track faculty member must serve a probationary period prior to being considered for tenure. The original appointment letter shall state the length of the faculty member's probationary period and the academic year in which he or she must be considered for tenure if he or she has met the minimum eligibility requirements for consideration. The stipulation in the original appointment letter of the length of the probationary period and the year of mandatory tenure consideration does not guarantee retention until that time.

2. Length of the Probationary Period. The probationary period at The University of Tennessee, Knoxville shall be no less than one and no more than seven academic years. (For policies on the probationary period, please consult *Faculty Handbook* 3.11.3.)

a. A faculty member appointed at The University of Tennessee, Knoxville, to the rank of assistant professor will normally be given a probationary period of seven years with tenure consideration in the sixth year. Exceptions to this policy must be approved by the department head, dean, and chief academic officer.

b. A tenure-track faculty member with an extraordinary record of accomplishment may request to be reviewed early for tenure and promotion. This request must be approved by the department head, dean, and chief academic officer.

c. A tenure-track faculty member may apply to extend the probationary period beyond seven years for reasons related to the faculty member's care-giving responsibilities as described in the *Faculty Handbook* 6.4.2 and the *Knoxville Family Care Policy*.

C. REVIEW PROCEDURES

1. Levels of Review. The promotion and tenure review process has several sequential levels. The procedures for promotion and for tenure are the same. Careful professional judgment of the accomplishments, productivity, and potential of each candidate is expected at each level of review. All levels of review are also concerned with procedural adequacy and equity. It is incumbent that consultation among review levels, by committees and academic administrators, should take place when there is a need to clarify differences that arise during the review process. For most academic units the review includes peer review by the department, review by the department head, review by the college, and review by the university. Evaluative statements assessing the candidate's case for tenure and/or promotion shall be provided at the department, college, and university levels as described in Part III of this manual. When a candidate has not received a unanimous committee vote, the statement must include a discussion of the reasons for the divergent opinions.

2. Departmental Review. Initial peer review (e.g., at the department level) will focus on criteria for promotion and/or tenure within the discipline as set forth in departmental and collegiate bylaws and the *Faculty Handbook*.

a. **Department procedures.** Each department of the university will develop and state in departmental bylaws detailed review procedures, supplemental to and consonant with general university procedures, as guidelines for promotion and tenure. These procedures should be made known to prospective and current faculty members, as well as the general university community, and should reflect the organizational arrangements of each department.

b. **Departmental review committees.** Departmental faculty members constitute the departmental review committees according to the following rules.

i. When conducting the initial departmental review, only tenured faculty members make recommendations about candidates for tenure.

ii. When conducting the initial departmental review, only faculty members of higher rank than the candidate make recommendations about promotion.

iii. In unusual circumstances, e.g., insufficient numbers of tenured and higher-ranked faculty members within a department, exceptions may be permitted by the chief academic officer upon request from the department head and dean.

iv. If a department does not form a subcommittee (see Part III.C.2.c) to present the candidate's case to the faculty, as might be the case in a small department, a representative of the review committee, selected according to departmental bylaws, shall summarize the faculty discussion and present a written recommendation and vote to the department head.

c. **Departmental subcommittees.** Departments may wish to form subcommittees of the departmental review committee to review the candidate's file and present the case to the departmental review committee. The subcommittee shall consist of members of the departmental review committee selected according to departmental bylaws. The bylaws of the department shall determine the size of the subcommittee, but in no case should a subcommittee consist of fewer than three members. In no instance will the subcommittee make a recommendation to the review committee on tenure and/or promotion of the candidate, rather the subcommittee presents objective data.

d. **Role of the department head in departmental review.** Department heads may attend the discussion of a tenure and/or promotion candidate by the departmental review committee; however, since the department head has an independent review to make, the department head shall not participate in the discussion except to clarify issues and assure that proper procedure is followed.

e. **Statement from the faculty.** A representative of the departmental review committee, selected according to departmental bylaws, shall summarize the faculty discussion and present a written recommendation and vote to the department head. This recommendation must be made available to the candidate and to the departmental review committee so that they may (if they wish) prepare a dissenting statement. This recommendation, the vote, and any dissenting statements become part of the dossier. (On the organization and contents of the tenure and promotion dossier, see Part IV of this manual.)

f. **The department head's review.** The department head conducts an independent review of the candidate's case for tenure and/or promotion. The department head prepares a letter that addresses the candidate's employment history and responsibilities as they relate to the departmental and collegiate criteria for the rank being sought by the candidate. The department head's letter will also provide an independent recommendation based on the department head's review and evaluation of materials in the dossier. The department head's letter must be made available to the candidate and to the departmental review committee so that they may (if they wish) prepare a dissenting statement. The department head's letter, together with any dissenting statement, becomes part of the dossier.

g. **Dissenting statements.** Faculty members may individually or collectively submit dissenting statements to the faculty recommendation or to the department head's recommendation. Dissenting reports should be based on an evaluation of the record and should be submitted to the department head before the dossier is forwarded to the dean or to the dean before the deadline for dossiers to be submitted to the dean's office for review by the collegiate tenure and promotion committee. Dissenting statements must become part of the dossier and must be available to the candidate, the department head, the departmental review committee, the college review committee, the dean, and the chief academic officer.

h. **Right of the faculty member to respond.** The faculty member may prepare a written response to the recommendation and vote of the faculty and/or to the department head's recommendation. The faculty member's response becomes part of the dossier and must be available to the department head, the departmental review committee, the college review committee, the dean, and the chief academic officer.

3. **College Review.** Reviews at the college level bring broader faculty and administrative judgments to bear and also monitor general standards of quality, equity, and adequacy of procedures used. Collegiate reviews are based on criteria for promotion and/or tenure as set forth in departmental and collegiate bylaws and the *Faculty Handbook*.

a. **The college review committee.** College review committees shall consist of members of the faculty selected by procedures outlined in collegiate bylaws. A faculty member serving on the college review committee shall recuse himself or herself from the discussion of a colleague from his or her department in the college review committee and shall not participate in the college review committee vote on that faculty member.

i. A college with a small number of departments or a college not organized into departments will provide for the constitution of the college review committee in the collegiate bylaws in a manner suitable to the context.

ii. The college review committee shall prepare a summary of its recommendation for each candidate along with a record of the committee

vote and submit these documents to the dean. The committee summary and vote become part of the dossier.

b. **The dean's review.** The dean of the college shall prepare a letter providing an independent recommendation based on his or her review and evaluation of the materials in the dossier. The dean's letter becomes part of the dossier.

4. **University Review.** Review at the university level will involve similar but less detailed evaluations and, in addition, will provide an essential campus-wide perspective. University-level review is based on criteria for promotion and/or tenure as set forth in departmental and collegiate bylaws and the *Faculty Handbook*.

a. **Review of the chief academic officer.** The chief academic officer shall review each dossier and prepare a letter providing an independent recommendation based on his or her review and evaluation of the materials in the dossier. The chief academic officer's letter becomes part of the dossier. The chief academic officer reports his or her recommendation to the chancellor or vice president, who forwards it with a recommendation to the president of the university. The president forwards the recommendations of the campus to The University of Tennessee Board of Trustees.

5. **Reviewing and Responding to Insertions.** The candidate for tenure/promotion has the right to review and respond to any statements, reports, summaries, or recommendations added to the dossier by faculty, administrators, or peer review committees.

D. STATEMENTS OF CRITERIA AND EXPECTATIONS FOR TENURE AND/OR PROMOTION

1. **Criteria for Tenure and/or Promotion.** All candidates for promotion and/or tenure are evaluated according to general criteria as described in the *Faculty Handbook* 2.2, 3.2, and 3.11.4.

2. **Role of the Department, College, and Chief Academic Officer in Developing Statements of Criteria and Expectations**

a. **Departmental statements of criteria and expectations.** Departmental bylaws should include a statement of criteria and expectations, which elaborates on the general criteria and is consistent with the mission of the department and the professional responsibilities normally carried by faculty members in the department.

b. **College criteria.** For colleges organized into departments, collegiate bylaws may also include a statement of criteria and expectations which elaborates on the general criteria and is consistent with the mission of the college and the professional responsibilities normally carried out by faculty members in the college.

c. **Role of the Chief Academic Officer.** The chief academic officer shall approve all statements of criteria and expectations. The chief academic officer shall maintain a master set of approved statements of criteria and expectations.

3. Dissemination of Statements of Criteria and Expectations

a. Deans and department heads shall ensure that faculty members are informed about the criteria and expectations that have been developed for their respective colleges (as applicable) and departments as stated in collegiate and departmental bylaws.

b. Deans shall ensure that copies of the current collegiate and departmental bylaws are on file in the office of the chief academic officer.

PART IV: ASSEMBLY OF THE TENURE AND/OR PROMOTION DOSSIER

A. THE DOSSIER: GENERAL OVERVIEW

1. Review Materials

a. **Materials required for tenure and/or promotion review.** The particular materials required for adequate review of a faculty member's activities in teaching, research/creative achievement/scholarship, and service at the departmental, collegiate, and university levels will vary with the academic discipline. However, those materials must include the following items:

- i. the dossier;
- ii. the *curriculum vitae*;
- iii. any supporting materials such as sample publications, videos, recordings, or other appropriate forms of documentation.

At least one set of review materials must be available for review in the department and the college. Materials forwarded to the chief academic officer for university review consist of the original and three copies of the dossier and one copy of the *curriculum vitae*. Other documentation will be requested as needed by the chief academic officer. Instructions for the preparation of the dossier and sample forms are given in Appendix B of this manual.

b. **The dossier.** The dossier, organized around the primary criteria by which candidates are assessed, is used for review at the departmental, collegiate, and university levels. The dossier will contain factual information of the sort that appears in the *curriculum vitae* as well as evaluative information such as peer evaluations of teaching and summaries of teaching evaluations. (See the detailed description in Appendix B.)

c. **The *curriculum vitae*.** The *curriculum vitae* is used to provide background for the department head's request for external assessments. One copy of the *curriculum vitae* is also forwarded with the dossier to all peer committees and administrators.

d. **Supporting materials.** Supporting materials, such as sample publications, videos, recordings, or other appropriate forms of documentation, must be made available for review in the department and the college.

e. **Attachments to the dossier.**

- i. The department head attaches letters from external evaluators who have conducted an assessment based on the *curriculum vitae* and supporting

materials such as sample publications, videos, recordings, or other appropriate forms of documentation.

ii. The department head also attaches to the dossier previous evaluative reports such as Annual Retention Review Forms and Faculty Annual Review Forms.

iii. All statements, reports, summaries and recommendations generated by the peer committees and administrators involved in the review process will become part of the dossier. The votes taken by peer committees are recorded on the Summary Sheet (see Appendix B of this manual).

2. Changes in the Informational Sections of the Dossier.

All peer review committees and administrators shall limit deliberations to the review of the content of the complete dossier, *curriculum vitae*, supporting materials, and attachments as forwarded. In the event that additional material is submitted for inclusion either through the department head or other administrator or independently, all peer review committees and administrators who have completed their review of a candidate shall be informed about additions that are made to the original materials subsequent to their review. All peer review committees and administrators who are informed about these submissions shall have the opportunity to reconsider their recommendation. The candidate for tenure and/or promotion shall also be invited to review the additional material and respond to it.

B. ASSEMBLY OF THE DOSSIER

1. Organization of Information in the Dossier

a. **The role of the department head in assembling the dossier.** The department head manages the assembly of the factual and evaluative information in the dossier based upon the materials furnished by the faculty member.

b. **Standard format required.** A standard format for presenting and organizing the information in the dossier shall be used by all departments. The format is described in detail in Appendix B to this manual. Any questions about the format and/or contents of the dossier should be directed to the chief academic officer.

c. **Items *not* to be included in the dossier.** The dossier should *not* contain the following items unless unusual circumstances prevail and the materials are necessary for making an assessment and recommendation (this judgment shall be made by the dean):

- i. Evaluative statements written by the candidate;
- ii. Statements about a candidate's personal life unless they are germane to the quality of the candidate's work;

- iii. Letters of appreciation or thanks except when they include an explanation of the contribution made to teaching, research/scholarship/creative activity, or service; or
- iv. Course syllabi, outlines, and other course materials; course evaluation forms.

2. **Role of the Faculty Member in Preparation of the Dossier**

a. **Factual information.** Each faculty member shall assist in supplying relevant information for his or her dossier which shall include the following items:

- i. A current *curriculum vitae* to assist the department head in preparing the factual information in the dossier;
- ii. Supporting material on research/scholarship/creative activity which will, along with a copy of the current *curriculum vitae*, be sent to external evaluators; and
- iii. Required statements and factual information found in the dossier sections on teaching, research/scholarship/creative activity, and service.

b. **Faculty member's review and signature statement.** Each faculty member shall review for accuracy and completeness the factual and evaluative information contained in his or her dossier prior to the beginning of the review process. The faculty member signs a statement certifying that he/she has reviewed these parts of the dossier. External letters of assessment will be made available upon written request from the candidate.

c. **Faculty member's role in identifying external evaluators.** Faculty members may suggest names of external evaluators, but in no case should the candidate directly solicit the external letters of assessment.

3. **Role of the Department Head in Preparation of the Dossier**

The department head manages the assembly of the factual and evaluative information in the dossier based upon the materials furnished by the faculty member. In addition, the department head must supply the following information.

a. **Statement of responsibilities.** A statement defining the responsibilities of the faculty member shall appear in the front of a candidate's dossier. It is recommended that the department head, or an appropriate administrator, write, in the third person, in consultation with the faculty member, a brief statement of responsibilities. The statement should be descriptive, not evaluative, and should clarify the areas of responsibility assigned to the faculty member in regard to the criteria used in

promotion and tenure reviews. The first statement of faculty responsibilities should be developed within the first six months of employment and updated annually.

b. **Teaching evaluation summary and peer review.** The department head assembles and prepares the portions of the dossier documenting the teaching evaluation and peer review of the candidate for tenure and promotion. In preparation for tenure and promotion review, departments must conduct a peer evaluation of teaching. Normally, a peer evaluation will be conducted within a year of the faculty member's initial appointment and repeated after a period of several years but prior to review for tenure and/or promotion according to departmental bylaws. Dossiers not containing evidence of self assessment and peer evaluation in addition to student evaluation will not be considered for promotion and tenure.

c. **External letters of assessment.** External letters of assessment must be obtained for candidates being reviewed for all tenure and/or promotion actions. The department head manages the process of obtaining external letters of assessment based upon the guidelines outlined in Part IV.B.4 of this manual.

d. **Previous evaluative reports.** The department head furnishes previous evaluative reports.

i. For candidates for tenure and promotion, the Annual Retention Review Forms for annual retention review during the probationary period shall be included in the dossier. The Retention Review Forms shall be presented in chronological order beginning with the earliest through the most recent retention reviews.

ii. For candidates for promotion only, the Faculty Annual Review Forms from annual reviews since the most recent promotion or tenure action will normally be included. The Faculty Annual Review Forms shall be presented in chronological order beginning with the earliest through the most recent evaluation. Evaluative statements from prior promotion reviews and from prior tenure reviews are not to be included.

4. The process for obtaining external letters of assessment

The department head or designate (e.g., chair of a departmental tenure and promotion committee) is responsible for the process of obtaining letters from external evaluators. The head, or designate, should initiate the process of obtaining external letters of assessment far enough in advance of the review process that letters are in the dossier and available to peer review committees and administrators at all levels of review. Candidates for tenure and promotion should not contact prospective or actual external evaluators under any circumstances.

a. **Qualifications of External Evaluators.** External evaluators should be distinguished individuals in the candidate's field who are in a position to provide an

authoritative assessment of the candidate's research record and to comment on its significance in the discipline. Whenever possible, letters should be solicited from individuals at peer institutions or aspirational peer institutions, in particular, from faculty employed at AAU institutions. If individuals at non-peer institutions are solicited for letters, the department head must explain the reasons for the choice of these individuals (including without limitation evidence of the reviewer's exemplary experience and standing in the candidate's field). Evaluators will normally hold the rank of professor and must have attained at least the rank to which the candidate aspires. Evaluators must be able to furnish an objective evaluation of the candidate's work and may not be former advisors, post-doctoral supervisors, or close personal friends of the candidate or others whose relationship with the candidate could reduce objectivity. If the evaluator has had a collaborative scholarly or research relationship with the candidate, the nature of that collaboration and the relative contributions of the candidate must be clearly described by the evaluator. A reviewer's appearance on an academic panel or roundtable with the candidate or attendance at a symposium or conference with a candidate, taken alone, does not constitute a relationship with the candidate that could reduce objectivity. Questions concerning the eligibility of potential evaluators should be referred to the office of the Dean and, where appropriate (e.g., where the department is a college or where the Dean is uncertain about how to resolve the matter), Provost well in advance of making a request from the individuals in question. Each evaluator will be asked to state expressly in his or her review letter the nature of any association with the candidate.

b. Method for Obtaining External Assessments.

- The department head or designate, in consultation with departmental faculty, assembles a list of potential external evaluators.
- The department head or designate requests the names of potential evaluators from the candidate.
- The department head or designate also requests names of individuals the candidate wants excluded and the reasons for the exclusions.
- The department head or designate will normally solicit 8-10 letters. No more than half of the letters solicited should come from the list suggested by the candidate.
- The dossier will normally include no fewer than five letters from external evaluators.
- All letters solicited and received must be included in the dossier unless the Office of Academic Affairs approves their removal from the review process.
- The dossier will include a log documenting all requests for letters from external evaluators. The log documents the date on which each external letter was requested by the department head or designate and the date on which the letter was received. All requests should be entered regardless of whether a response was obtained. The log will also indicate which evaluators come from the candidate's list and which are from the list of the department head or designate.
- The department head or designate will send to the external evaluators information and documentation for use in preparing the external assessment

including the candidate's *curriculum vitae*, appropriate supporting materials concerning the candidate's research or creative activity, and the departmental and collegiate statements of criteria for promotion and/or tenure.

c. Letters from external evaluators must be submitted on institutional letterhead and carry the evaluator's signature. These letters, or their images, may be submitted via regular mail, e-mail, or facsimile. If multiple versions of a letter are received, then all versions should be retained in the candidate's dossier.

d. The department head or designate is responsible for providing and including in the candidate's dossier a brief biographical statement about the credentials and qualifications of each external evaluator; special attention should be given to documenting the evaluator's standing in his or her discipline as part of the biographical statement.

e. **Log of contacts with external evaluators.** A log shall be inserted in the dossier to document the following:

- i. date of request to the external evaluator;
- ii. date of receipt of letter from external evaluator; and
- iii. date of entry of letter into dossier.

f. **Sample letter.** A sample copy of the letter requesting the external assessment shall be inserted in the dossier. The letter will request a critical assessment of the candidate's achievements and reputation within his or her discipline, with reference to the duties and responsibilities assigned to the candidate. Requests should be for letters of assessment, not for letters of recommendation.

5. Duties of the Deans and the Chief Academic Officer in the Dissemination of Information about Dossier Preparation

a. **Duties of the dean.** Each collegiate dean shall ensure that faculty members in his or her college are informed about the manner in which dossiers are prepared and the appropriate content of dossiers.

b. **Duties of the chief academic officer.** The chief academic officer shall be responsible for ensuring that tenure and promotion workshops to inform faculty members, review committees, and academic administrators about dossier preparation and review procedures are conducted annually.

PART V: CUMULATIVE PERFORMANCE REVIEW OF TENURED FACULTY

A. GENERAL INFORMATION

1. Policies and Procedures Governing Cumulative Performance Review. The policies and procedures governing cumulative review of tenured faculty are given in the University of Tennessee Board of Trustees' policy (<http://www.tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf>) and the *Faculty Handbook* (3.8.3). Cumulative performance reviews for tenured faculty are triggered by evaluations from the annual review of tenured and tenure-track faculty (see Part II of this manual).

2. Initiation of a Cumulative Performance Review. Board of Trustees' policy mandates that a cumulative performance review is triggered for a faculty member in the following circumstances:

a. A faculty member whose annual review results in a rating of unsatisfactory in any two of five consecutive years;

b. A faculty member whose annual review results in any combination of unsatisfactory or needs improvement ratings in any three of five consecutive years.

3. Notification of the Cumulative Performance Review. The department head will notify in writing any faculty member who qualifies for a cumulative performance review under the conditions outlined in Part V.A.2 of this manual. This notification will be included in the department head's narrative on the Faculty Annual Review Form as part of the normal reporting process for the annual review of faculty as described in Part II.B of this manual.

B. REVIEW MATERIALS

1. General Information. The materials to be used in the cumulative performance review of a tenured faculty member should include at least the following:

a. The Faculty Annual Review Forms and supporting documents for the preceding five years;

b. Review materials for the faculty member's activities in teaching, research/scholarship/creative activity, and service during the year immediately preceding the cumulative review (i.e., the equivalent of annual review materials, as referenced in Part II.B.2 of this manual);

c. Documentation, not included in the annual review summaries, required by departmental bylaws, that relates to the faculty member's activities for the preceding five years; and

d. A current *curriculum vitae*.

C. REVIEW PROCESS

1. Establishing a Cumulative Peer Review (CPR) Committee. Within 30 days of receipt of notification that a cumulative review has been triggered, the college dean shall appoint a peer review committee consisting of at least five members (including the chair) and shall determine its chair. The committee shall be composed of appropriate tenured faculty members at the same or higher rank as the faculty member under review drawn from departmental faculty members and appropriate faculty members from outside the department. One member of the peer review committee shall be selected from a list submitted by the faculty member, one member shall be selected based on a recommendation from the department head, and at least two additional members shall be selected based on nominations by the Faculty Senate (one of which shall be from outside the department). The department head may not serve on the peer review committee.

2. The Committee's Deliberations. The peer review committee shall examine the above referenced review materials and shall make an evaluation of the faculty member's performance in the categories of teaching, research/scholarship/creative activity, and service. The committee shall then reach an overall assessment of the faculty member's performance over the preceding five years by indicating whether the faculty member satisfies expectations for his or her rank or fails to satisfy expectations for his or her rank and shall comment on specific weaknesses and/or strengths in performance. The peer review committee evaluation shall be summarized on the Cumulative Peer Review Report form (see Appendix A of this manual).

3. Reviewing and Signing the Cumulative Peer Review Report. The faculty member reviews and signs the Cumulative Peer Review Report. The faculty member's signature indicates that he or she has read the entire report, but the signature does not necessarily imply agreement with the findings.

4. Transmitting the Cumulative Peer Review Report. The committee chair forwards the Cumulative Peer Review Report to the department head, the college dean, the chief academic officer, and the faculty member under review.

5. Responding to the Cumulative Peer Review Report. The faculty member may prepare a written response to the Cumulative Peer Review Report. This response shall be copied to the department head, the college dean, the chief academic officer, and the CPR Committee. The faculty member shall be allowed two weeks from the date of receipt of the report from the committee to submit any written response. If no response is received after two weeks from the date of receipt, the faculty member relinquishes the right to respond.

D. FOLLOWING UP ON THE CPR COMMITTEE’S RECOMMENDATION

Additional information regarding the cumulative performance review process and its potential outcomes is set forth in the Revised Policies Governing Academic Freedom, Responsibility, and Tenure, as adopted by The University of Tennessee Board of Trustees in June, 2003, and referenced above in Part V.A.1. Appendix C of this manual contains the text of the board policy.

PART VI: PROMOTION OF NON-TENURE TRACK TEACHING FACULTY

A. LECTURER PROMOTION PROCESS

A lecturer is eligible for promotion to senior lecturer typically after a minimum of five years of regular (full-time) service at the rank of lecturer. A senior lecturer is eligible for promotion to distinguished lecturer typically after three to five years of regular (full-time) service at the rank of senior lecturer.

1. Expectations for Institutional Faculty. “Non-tenure-track teaching faculty are hired for specific teaching assignments. They generally are not expected to conduct research or perform public or disciplinary service as a condition of their employment. However, research or service activities may be included as part of their effort, depending on the needs of the department and the skills and desires of the faculty member.” (*Faculty Handbook* Section 4.2.1). Lecturers at the University of Tennessee are expected to provide excellent instruction. Among the characteristics of excellent instruction are the following practices: establishing, applying, and maintaining rigorous expectations for student performance; facilitating student learning through effective pedagogical techniques; using instructional materials appropriate to the program and discipline; providing current information and materials in the classroom and / or laboratory; engaging students in an active learning process; incorporating collaborative and experiential learning in regular classroom instruction; constructing appropriate and challenging assessment activities; providing timely and useful feedback to students; revising course content and scope as required by advances in disciplinary knowledge or changes in curriculum; revising teaching strategies in accord with innovations in instructional technology.

2. Criteria for Promotion to Lecturer Ranks. The principal criterion for promotion is excellence in teaching; however, research and/or service may be considered when recommending a lecturer for promotion. Even in cases where there is evidence of excellence in research and / or service, excellence in teaching will remain the principal criterion for evaluation of instructional faculty.

a. **Promotion to Senior Lecturer:** After serving at the rank of lecturer, typically for a minimum of five years, a lecturer who has satisfied the following criteria may apply for promotion to the rank of senior lecturer:

- i. Evidence of excellence in teaching, typically of undergraduate courses, as documented in student evaluations, peer evaluations, annual supervisor / departmental evaluations;
- ii. Professional development, as evidenced by appropriate activities in support of the expected instructional practices listed in Section VI.A.1., above;

iii. Evidence notable contributions to the university's instructional mission, within the faculty member's assigned role.

b. **Promotion to Distinguished Lecturer:** After serving at the rank of senior lecturer, typically for a period of three to five years, a senior lecturer who has satisfied the following criteria may apply for promotion to the rank of distinguished lecturer:

i. Evidence of consistent excellence in teaching, typically of undergraduate courses, as documented by student evaluations, peer evaluations, annual supervisor / departmental evaluations;

ii. Continuing professional development, including some or all of the following activities: attendance at campus, regional, national, or international meetings directed at improving instruction; development of new courses and / or revision of existing courses; incorporation of innovative course materials or instructional techniques; scholarly or creative work in the scholarship of teaching as well as in the discipline; awards or other recognition for teaching;

iii. Evidence of outstanding contributions to the university's instructional mission, within the faculty member's assigned role.

iv. Evidence of institutional or disciplinary service, within the faculty member's assigned role, such as advising and mentoring undergraduate students, supervising GTAs, course coordination, or other forms of institutional service, such as serving on committees

3. **Process for Promotion.** An effective evaluation of a promotion candidate's qualifications and professional contributions requires the academic judgment of both the candidate's faculty colleagues and responsible administrators. When the faculty member's position is in a department within a college, there are three levels of review: the department or other unit level, headed by the faculty member's immediate supervisor; the dean of the college in which that unit sits; and the chief academic officer. For colleges without departments, the review should follow the same procedure used for the promotion and tenure process. In the description below, the department head is understood to refer to the supervisor of the unit in which the faculty member is appointed.

a. **Departmental Level Review and Recommendation.** The faculty member and department head or designee should discuss promotion as part of the annual performance review, well in advance of the suggested dates for submission of the application for promotion, in order to give the candidate sufficient time to gather the required materials and assemble the dossier.

i. The promotion process begins when a dossier is submitted for consideration for promotion to senior or distinguished lecturer. According to the *Faculty Handbook*, "A departmentally designated group of faculty will review and evaluate appointments to the rank of senior [and distinguished]

lecturer, in accordance with departmental and college bylaws” (4.2.1). Typically, all tenure-track and tenured faculty members are eligible to be members of this group, as are non-tenure-track instructional faculty who hold higher rank than the candidate, unless otherwise specified by college or departmental bylaws. They shall review the candidacy and record a vote in favor or against promotion by majority vote (unless some other voting mechanism is established by college or departmental bylaws). The vote of the departmentally designated faculty group is advisory to the department head or his/her designee.

ii. After making an independent judgment on the promotion candidacy, the department head shall either insert a positive written recommendation in the dossier and advance it to the next level of review or, notify the candidate in writing that the department declines to recommend promotion.

iii. Candidates not recommended for promotion by their departments may appeal that decision to the next level. If a candidate chooses not to appeal, the application is considered to be withdrawn and the promotion process ends. (See Section VI.A.5. below.)

b. **College Level Review and Recommendation.** The dean may establish a college-wide committee for review and recommendation regarding promotion of non-tenure-track faculty. The recommendation of any college-wide committee shall be advisory to the dean. After making an independent judgment on the promotion candidacy, the dean shall either insert a positive written recommendation in the dossier and advance it to the next level of review or notify the candidate in writing that the college declines to recommend promotion. Candidates not recommended for promotion by their colleges may appeal that decision to the chief academic officer. If a candidate chooses not to appeal, the application is considered to be withdrawn and the promotion process ends. (See Section VI.A.5. below.)

c. **Campus Level Review and Final Promotion Decision.** The chief academic officer reviews recommendations forwarded by the dean and serves as the final decision maker regarding promotion to senior/distinguished lecturer. The chief academic officer will notify successful and unsuccessful candidates in writing of his/her decision regarding promotion. Candidates not recommended for promotion by the chief academic officer may appeal to the Chancellor.

4. **Contents of the Dossier.** A cover sheet that records the decisions at the various levels of review must accompany the dossier. Candidates for promotion must provide a complete *curriculum vitae* and assemble a dossier in advance of the process. The candidate will work with the department head or designee to assemble a promotion dossier according to the guidelines listed below. This dossier must describe the responsibilities assigned to the lecturer/senior lecturer and must include an appropriate subset of the following materials. The dossier, excluding the cover sheet and the candidate's *curriculum vitae*, should not exceed 50 pages.

a. **Items to be supplied by the candidate (Asterisks indicate required items):**

- i. A complete *curriculum vitae**
- ii. Statement of teaching philosophy and professional goals*
- iii. A summary of student evaluations and grade distributions (listed in chronological order, earliest to most recent) consisting of a table of responses to the first four questions from the SAIS from all classes taught during the five years prior to the date of the application for promotion and a table of final grade distributions from all classes taught during the five years prior to the date of the application for promotion.*
- iv. Evidence of teaching excellence such as:
 - narrative comments from student evaluations (**Note:** If a candidate submits narrative comments, all comments received during the review period shall be provided to the department head or designee, who will make a selection that includes both “best liked” and “least liked” qualities. The selection should be broadly representative of the entire body of student comments.);
 - a list of honors and awards for teaching, advising, and mentoring;
 - a representative syllabus, ideally from the most recent instances of the candidate’s most frequently taught courses;
 - evidence of course or curricular development; evidence of pedagogical innovation;
 - an account of supervision of undergraduate research;
 - a description of mentoring or coordinating GTAs for large-enrolling, multi-section classes;
 - a description of participation in teaching workshops or pedagogical training.
- v. Evidence of excellence in contributing to the university’s instructional mission such as:
 - administrative responsibilities within the program or unit;
 - program or course-coordination across multiple sections;
 - support for extra-curricular student organizations and activities;
 - participation in the unit’s governance activities and committees;
 - professional outreach activities in the campus, community, or discipline;
 - other evidence of professional excellence.

b. Items to be supplied by the department head (Asterisks indicate required items):

- i. Description of the candidate's responsibilities;*
- ii. Copies of annual evaluations during the review period (since the last promotion or for the last five years, as applicable);*
- iii. Copies of at least two separate peer/faculty evaluations of instruction during the review period for promotion to senior lecturer. For promotion to distinguished lecturer, one peer/faculty evaluation performed after promotion to senior lecturer is required;*
- iv. Any other annual evaluations.

5. Notification of Candidates during the Process and Candidates' Right to Respond.

- a. Candidates will be notified upon completion of review at each level (department, college, campus).
- b. A candidate whose application for promotion is denied will be provided a written explanation of the grounds for the denial at the time of notification.
- c. A promotion application that is not approved will not be forwarded to the next level of review unless the candidate submits a written appeal to the next level within ten working days of the date of the written notification of a negative promotion decision. The appeal must make an explicit request for further review of the application and give reasons for that request.
- d. A candidate has a right to submit a written response to each level of review, whether the recommendation is positive or negative. The candidate must submit any response within ten working days of notification. The response will be inserted in the dossier.
- e. Candidates not recommended for promotion must wait one academic year following the end of the promotion cycle before re-applying.

APPENDIX A:

FACULTY ANNUAL REVIEW REPORT – ANNUAL REVIEW
FACULTY ANNUAL REVIEW REPORT – RETENTION REVIEW
CUMULATIVE PEER REVIEW REPORT
FACULTY EXTERNAL COMPENSATION AND CONSULTING
ANNUAL REPORT FORM
FORM A – CONSULTING ENGAGEMENT REPORT

FACULTY ANNUAL REVIEW REPORT - ANNUAL REVIEW

Faculty member: _____ Department: _____
Rank: _____ Evaluation Period: _____

Areas to be evaluated and rated are (1) teaching, (2) research/scholarship/creative activity, (3) service, and (4) overall performance.¹ In each area, the department head rates faculty performance on a scale of 1 to 5, as set forth below, relative to expectations for his or her rank, based on previously established objectives for that faculty member (including goals for the previous year and each of the preceding two years in the Evaluation Period) and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

- 5 – Outstanding (Excellent):** Far exceeds expectations
4 – More Than Expected (Very Good): Exceeds expectations
3 – Expected (Good): Meets expectations
2 – Less Than Expected (Fair): Falls short of meeting expectations²
1 – Unsatisfactory (Poor): Falls far short of meeting expectations²

	<i>Unsatisfactory</i>				<i>Outstanding</i>	
Teaching	1	2	3	4	5	NA
Research/Scholarship/Creative Activity	1	2	3	4	5	NA
Service	1	2	3	4	5	NA
Overall	1	2	3	4	5	NA

The department head's Progress and Performance Narrative shall be attached to this Report. Other supporting materials also may be attached. For tenured faculty in Good Standing,³ the department head is required to attach a Progress and Performance Narrative only every three years, unless the faculty member asks the department head to draft and attach a narrative for that year.⁴ In years for which a Progress and Performance Narrative is not attached, the faculty member's Faculty Activity Report for that year is attached to this Report in lieu of the Progress and Performance Narrative.

For purposes of improvement plans and Cumulative Performance Review:

- A faculty member who receives an Overall performance rating of a 2 or 1 is required to submit an improvement plan.
- For purposes of Cumulative Performance, an Overall performance of 2 is consistent with "Needs Improvement for Rank" in UT Board of Trustees Policy.
- An evaluation rating of 1 is consistent with "Unsatisfactory for Rank" in the same document.

For purposes of merit and performance-based salary adjustments, the following rules apply:

- A faculty member with an Overall performance rating of 5, 4, or 3 is eligible for any merit pay or other performance-based salary increase.
- A faculty member with an Overall rating of 2 is not eligible for any merit pay or other performance-based salary increase. Across board increases do apply.
- A faculty member with an Overall rating of 1 is not eligible for any merit pay or other performance-based salary increase, or across board increases.

¹ Procedures and standards are set forth in the *Faculty Handbook*, the *Manual for Faculty Evaluation*, and the departmental bylaws.

² An improvement plan is required.

³ A tenured faculty member is in "Good Standing" if he or she (a) receives an overall rating in this annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.

⁴ A department head may also voluntarily attach a Progress and Performance Narrative in any year in which it is not required.

⁵ Attach rating and rationale, as necessary.

By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to this form within two weeks from the date I received this form in accordance with Part II.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

Department Head: _____ Date: _____

Dean:⁵ _____ Date: _____

Chief Academic Officer:⁴ _____ Date: _____

FACULTY ANNUAL REVIEW REPORT - RETENTION REVIEW

Faculty member: _____ Department: _____
Year of appointment: _____ Tenure consideration scheduled for AY: _____
Assigned mentor(s): _____

Retention reviews specifically address (among other things) the faculty member's (a) establishment and development of (1) teaching methods and tools, (2) program of disciplinary research/ scholarship/ creative activity, and (3) record of institutional, disciplinary, and/or professional service, as well as (b) progress toward promotion (where applicable) and tenure.

For retention reviews prior to the enhanced retention review⁶ (i.e., typically in the second and third year of the probationary period), the tenured faculty's retention vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research /scholarship/creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review.

The enhanced retention review⁵ (i.e., typically in year four) reflects a comprehensive, substantive evaluation based upon a file prepared by the faculty member, in accordance with requirements set forth in the *Manual for Faculty Evaluation* as a preliminary draft of the faculty member's tenure dossier. Beginning in the year of the tenure-track faculty member's enhanced retention review (and beginning with the first retention review for each faculty member exempt from the enhanced retention review), the tenured faculty's retention vote shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

1. **Review by the tenured faculty.** The narrative of the tenured faculty is attached and the vote recorded below.

Vote of the tenured faculty: For retention _____ Against retention _____ Abstain _____

2. **Review by the department head.** The report of the department head is attached.

The department head recommends: Retention _____ Termination as of _____

3. **Review by the faculty member.** By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements within two weeks from the date I received this form in accordance with Part I.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

4. **Review by the dean.**⁷

The dean recommends: Retention _____ Termination _____

Dean: _____ Date: _____

5. **Review by chief academic officer.**⁸

⁶ The enhanced retention review process is provided for in paragraph A.2.a. of Part I of the *Manual for Faculty Evaluation*.

⁷ A dean's statement should be attached when his or her recommendation "differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate," as provided in paragraph B.2.a. of Part I of the *Manual for Faculty Evaluation*.

⁸ The chief academic officer's statement may be attached when appropriate.

The chief academic officer recommends: Retention _____ Termination _____

Chief Academic Officer: _____ Date: _____

CUMULATIVE PEER REVIEW REPORT

Name of faculty Member: _____

Rank: _____ Department: _____

Year of appointment: _____ Number of years at current rank: _____

Overall assessment of the faculty member's performance:

☐ Satisfies expectations for rank

☐ Fails to satisfy expectations for rank

The chair of the Cumulative Peer Review Committee shall attach a narrative summarizing specific weaknesses and/or strengths in performance.

Signature of the chair of the peer review committee:

_____ Date: _____

Signature of faculty member: _____ Date: _____

Signature of the dean: _____ Date: _____

(Attach assessment and recommendation)

Signature of chief academic officer: _____ Date: _____

(Attach assessment and report)

Signature of the chancellor or vice president: _____ Date: _____

(Attach assessment and report)

Faculty External Compensation and Consulting Annual Report Form

Employee Name: _____
First Middle Last

Title: _____ Department: _____

This form reports my acceptance of or my intention to accept outside engagement and/or consulting work. The proposed engagement will not interfere with my assigned duties. In such outside engagement, I will act as an individual and not as a representative of The University of Tennessee.

A Consulting Engagement Report (Form A) is attached for each engagement.

I understand that consulting/outside engagement may not be undertaken on that portion of time covered by federal grants or contracts. I further understand that this report applies only to that portion of my time for which I am employed by The University of Tennessee. I agree to furnish additional information as reasonably required, so long as this is consistent with, for example, my professional or contractual obligations of confidentiality, and to update this form when appropriate during the academic year.

I certify that there will be no conflict of interest between this outside engagement and my responsibilities as an employee of The University of Tennessee. I also certify that this engagement/consulting work will be conducted without significant direct expense to The University of Tennessee or significant use of University facilities, equipment, or services unless procedures and fee schedules have been established and approved as specified in the *Faculty Handbook*. By signing below, I represent that:

my value as a faculty member or my own professional status will be enhanced and improved by the proposed outside professional activity;

I have read Chapter 7 of the *Faculty Handbook* (Compensated Outside Service) and agree to conduct my outside engagement/consulting in accordance with the applicable provisions of this Chapter; and

if I receive compensation from federal grants and contracts, I understand that this compensation must be in compliance with OMB Circular A21.

Signature of Faculty Member

University Identification Number Date

Acknowledged: Release time basis? Yes____ No____

Department Head Date

Acknowledged: Release time basis? Yes____ No____

Dean Date

Form A – Consulting Engagement Report

The information below is supplied to the extent available and to the extent the information below can be provided consistent with professional and contractual obligations of confidentiality.

1. Names and addresses of firms, agencies or individuals: _____

2. Nature of work: _____

3. Basis for engaging in consulting, if applicable (discuss remuneration, value to UT, professional enhancement):

4. Period of activity: _____ through _____
Date Date

5. Equity ownership involved? _____ If so, the amount and type of equity interest owned:

APPENDIX B:

INSTRUCTIONS FOR ASSEMBLY OF THE TENURE AND/OR PROMOTION DOSSIER WITH EXAMPLES AND SAMPLE FORMS

General Directions. This section contains explanations and examples of the materials that comprise the dossier and its attachments. The dossier must be assembled to include the information and documentation given in the sequence listed below in this section. Each section must be arranged exactly as listed below and paginated with the section and page number (i.e. A-1, A-2; B-1, B-2, etc.). The sections of the dossier (in the original and copies) should be separated by tabs, colored paper or some other mechanism for ease of review. The original and four copies will be forwarded by the dean to the chief academic officer. One file copy must be retained in the department. Any dossiers which do not conform to this order or which contain inaccuracies will be returned to the department or college for correction.

Sample forms and tables are provided in this appendix. The Master Checklist for Tenure Review is included at the end of this appendix.

- A. Summary Sheet: Recommendations for Promotion and/or Tenure**
 - Educational History and Employment History**
 - Statement of Responsibilities**
 - Department and College Criteria Statements**
 - Certification of Competence to Communicate in English**
- B. Teaching Ability and Effectiveness**
 - Teaching Evaluation Summary**
- C. Research, Scholarship, Creative Achievement**
- D. Institutional, Disciplinary, and/or Professional Service**
- E. Candidate Signature Statement**
- F. External Letters of Assessment**
 - Letter to External Evaluators for Tenure and/or Promotion Decisions**
 - Log of External Letters of Assessment**
 - Method of Selection of External Evaluators**
 - Qualifications of External Evaluators**
- G. Annual Retention Review Forms (for tenure-track faculty only)**
 - Annual Review Forms (for faculty seeking promotion only)**
 - Department Head's Letter**
 - Statements of Evaluation by Review Committees**
 - Dissenting Reports**
 - Candidate's Response**
 - Dean's Letter**

A. Summary Sheet, Educational and Employment History, Statement of Responsibilities, Department and College Criteria Statements, Certification of Competence to Communicate in English

1. The Summary Sheet. The summary sheet records the basic data of the candidate's employment and eligibility for tenure and/or promotion review. Note: If the recommendation for tenure comes earlier or later than that specified in the faculty member's letter of appointment (or for promotion after fewer than the normal number of years in rank), approval for early review shall have been requested and granted by the department head, dean, and chief academic officer. A copy of the approval must be attached to the summary sheet.

The summary sheet also documents the process of review by peer committees and administrators. Care should be taken to ensure that all entries on the form are correct and complete. The numerical vote of each committee is reported on the Summary Sheet. Reports from peer committees and administrators is attached as part G of the dossier.

2. Educational History and Employment History. An example of the format for presenting this information is given below.

3. Statement of Responsibilities. The department head shall prepare a statement of the responsibilities of the candidate for tenure and/or promotion. The assigned workload for full-time faculty consists of a combination of teaching, research/scholarship/creative activity, and service. The normal maximum teaching responsibilities of a full-time faculty member engaged only in teaching is 12 credit hours each semester. The precise teaching responsibility of each individual shall be based on such factors as class size and the number of examinations, papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught and other appropriate considerations shall be used to determine teaching responsibility.

The actual responsibilities of a faculty member will typically be a mix of teaching, research/scholarship/creative activity, and service. These responsibilities will be determined in consultation between the faculty member and department head with their nature, status, and progress as documented on the Annual Retention Review Forms and/or the Faculty Annual Review Forms for the faculty member, which become part of the dossier. The university requires that each member of the faculty perform a reasonable and equitable amount of work each year.

4. Department and College Statements of Criteria and Expectations. Each department and college must include a description of the criteria used to appoint and evaluate faculty in these respective units as outlined in the *Faculty Handbook* 3.11.4. (See Part III.D of this manual for information about the development, approval, and dissemination of department and college criteria statements.)

5. Certification of Competence to Communicate in English. The University of Tennessee Board of Trustees requires that certification of competence to communicate in English shall accompany the tenure and promotion dossier of any candidate who is not a native speaker of English.

B. Teaching Ability and Effectiveness

The material in this section should document clearly the candidate's teaching ability and effectiveness. This section contains the following statements and information arranged in the order given.

1. Required statements, information, and reports. Section B must contain the following items.

- a. A statement by the candidate of his/her teaching philosophy and its implementation;
- b. A list of courses taught in resident instruction, continuing education, and international programs for each term or semester of instruction with enrollments in each course;
 - i. honors courses should be identified separately;
 - ii. a record of clinical assignments will be included; and
 - iii. a list of advising responsibilities for the period will be included.
- c. A concise compilation of results of student evaluation or documented evaluation of candidate's programs, activities, and skills;
- d. A report from a peer evaluation of teaching and any other faculty input concerning the evaluation of teaching effectiveness, including any statements from colleagues who have visited the candidate's classroom for the purpose of evaluating his/her teaching, or who are in good position to evaluate fairly and effectively clinical or field assignments or advising. Internal letters about teaching effectiveness should be included in this section.
- e. If a summary of student comments is included, the summary should include "the best liked" and "the least liked" qualities. These comments should be compiled by the department head from student evaluations of teaching.

2. Other indicators of quality. Section B may contain the following indicators of quality as appropriate:

- a. any statements from administrators which attest to the candidate's teaching and advising effectiveness;
- b. other documentation of evidence of teaching and advising effectiveness (e.g., performance of students in subsequent courses, tangible results and benefits);
- c. any honors and awards received for teaching;
- d. a list of supervised graduate dissertations (or equivalent) required for graduate degrees with types of degrees and years granted;
- f. a list of undergraduate honor theses supervised;
- g. membership on graduate degree candidates' committees;
- h. any evidence of expertise or experience in international or intercultural activities.

C. Research, Scholarship, Creative Activity

The material in this section should document clearly the candidate's achievements in research/scholarship/creative activity (according to the terms of the candidate's appointment). This section contains the following statements and information arranged in the order given.

1. Candidate's statement. The statement describes the candidate's research/scholarship/creative achievement approach and/or agenda.

2. Research and/or scholarly publications. Publications should be listed in standard bibliographic form, preferably with the earliest date first. Citations should include beginning and ending page numbers or total number of pages, where appropriate. For multiple-authored works, the contribution of the candidate should be clearly indicated (e.g., principal author, supervised person who authored the work, etc.). Manuscripts accepted for publication should be placed in the appropriate category as "in press"; letters of acceptance from editors for such contributions should be included at the end of this section. Publications should be listed as follows:

- a. Articles published in refereed journals;
- b. Books;
- c. Scholarly and/or creative activity published through a refereed electronic venue;
- d. Contributions to edited volumes;
- e. Papers published in refereed conference proceedings;
- f. Papers or extended abstracts published in conference proceedings (refereed on the basis of abstract);
- g. Articles published in popular press;
- h. Articles appearing in in-house organs;
- i. Research reports submitted to sponsors;
- j. Articles published in non-refereed journals;
- k. Manuscripts submitted for publication (include where and when submitted).

3. Creative activity. This section should document exhibitions, installations, productions, or publications of original works of architecture, dance, design, electronic media, film, journalism, landscape architecture, literature, music, theatre, and visual art. Performance of original dance, literary, musical visual arts, or theatrical works, or works from traditional and contemporary repertoires of the performing arts should be chronicled with critiques.

4. Projects, grants, commissions, and contracts (date, title, agency, amount). These should be referenced in the following order:

- a. Completed;
- b. Funded and in progress;
- c. Under review.

5. Other evidence of research or creative accomplishments (identify patents, new product development, international and intercultural expertise or experience, new art forms, new computer software programs developed, etc.).

6. Record of participation in, and description of, seminars and workshops (short description of activity, with titles, dates, sponsor, etc.); indication of role in seminar or workshop, e.g., student, invited participant, etc.

7. Papers presented at technical and professional meetings (meeting and paper titles, listed chronologically in standard bibliographic form); indication of whether the candidate was the presenter, whether the paper was refereed, and whether the paper was invited.

8. List of honors or awards for research/scholarship/creative achievement

9. List of grants and contracts for instruction or for training programs, with an indication of the candidate's role in preparing and administering the grants and contracts

D. Institutional, Disciplinary, and/or Professional Service

The material in this section should document the candidate's achievement in institutional, disciplinary, and/or professional service. This section contains the following statements and information arranged in the order given.

1. Candidate's statement. The statement will describe the candidate's achievement in institutional, disciplinary, and/or professional service.

2. Summary of his/her service record arranged according to the following categories.

a. Institutional Service

- i. Record of committee work at department, college, and university levels;
- ii. Participation in university-wide governance bodies and related activities;
- iii. Record of contributions to the University's programs, at home and abroad, to enhance equal opportunity, cultural diversity, and international and intercultural awareness.

b. Disciplinary Service

- i. Record of membership and active participation in professional and learned societies related to his or her academic discipline (e.g., offices held, committee work, journal refereeing, and other responsibilities);
- ii. List of honors or awards for service activity within the academic discipline.

c. Professional Service

- i. Service to public and private organizations or institutions in which the candidate uses his/her professional expertise;
- ii. Service to governmental agencies at the international, federal, state and local levels;
- iii. Service to industry, e.g., training, workshops, consulting;
- iv. Participation in community affairs as a representative of the University.

E. Candidate Signature Statement

A sample form is provided at the end of this appendix.

F. External Letters of Assessment

The following items, including the letters and other required statements and information, must be arranged in the order given.

- 1. External letters of assessment.** The dossier must include at least five external letters of assessment.
- 2. Letters to external evaluators.** When letters are solicited, the request should be for letters of assessment rather than "recommendation" or "endorsement", and evaluators should be encouraged to concentrate on those aspects of the candidate's record which are most important to the external visibility and professional standing of the candidate. A sample letter is included at the end of this appendix. Letters to external evaluators should include the criteria for rank in the department, college, and university.
- 3. Log of external letters of assessment.** The log documents the date on which each external letter was requested by the department and the date on which the letter was received. All requests should be entered regardless of whether a response was obtained. A sample log is included at the end of this appendix.
- 4. Method of selection of external evaluators.** The head shall attach a description of the procedure used for selecting external evaluators. A sample description is included at the end of this appendix.
- 5. Qualifications of external evaluators.** The head shall attach a brief statement identifying those who have written the assessments, including evidence demonstrating the evaluator's qualifications and standing in his/her discipline. A sample statement is included at the end of this appendix.

G. Evaluative Recommendations, Reports, and Statements. The following recommendations, reports, and statements are included in the order given below.

- 1. Annual Retention Review Forms (for tenure-track faculty only)**
- 2. Annual Review Forms (for faculty seeking promotion only)**
- 3. Department Head's Letter**
- 4. Statements of Evaluation by Review Committees**

5. Dissenting Reports

6. Candidate's Response

SAMPLE FORMS, LETTERS, AND TABLES TO BE INCLUDED IN THE TENURE AND/OR PROMOTION DOSSIER

Summary Sheet: Recommendations for Promotion and/or Tenure

Name of faculty member: _____

Present rank: _____ Candidate for: ☐ Tenure ☐ Promotion to _____

Department: _____ Highest degree earned: _____

Original rank at UTK: _____ Subsequent promotions (year, rank): _____

RECORD AT THE UNIVERSITY OF TENNESSEE, KNOXVILLE

Date of original appointment as a full-time probationary faculty member: _____

Years of full-time teaching experience at instructor rank or above before UTK probationary period:

Years of full-time teaching at UTK, as of the May 31st prior to the review: _____

Total years of teaching: _____

Latest year for tenure review as stipulated in appointment letter: _____

RECOMMENDATIONS

DEPARTMENTAL FACULTY

Date of departmental discussion: _____

Result of discussion: For: _____ Against: _____ Abstain: _____

Recuse (attach explanation for conflict of interest): _____

Is there a dissenting report? ☐ Yes (please attach) ☐ No

Is there a response from the candidate ☐ Yes (please attach) ☐ No

INTERDISCIPLINARY COMMITTEE OR DIRECTOR (where appropriate)

For: _____ Against: _____ (Provide letter)

Approve _____ Disapprove _____
(Provide letter)

DEPARTMENT HEAD

Provide a statement on the professional record and a summary recommendation.

COLLEGE COMMITTEE

For: _____ Against: _____ Abstain: _____

Recuse (attach explanation for conflict of interest): _____

A copy of the report of the departmental and college committees must also be attached. In cases where this report disagrees in any substantial way with the departmental recommendation, this report must go beyond a listing of the vote to indicate as fully as possible the reasons for the differences.

Approve _____ Disapprove _____
(Provide letter)

DEAN

CHIEF ACADEMIC OFFICER

CHANCELLOR (RECOMMENDATION ON TENURE)

CHANCELLOR (DECISION ON PROMOTION)

Educational History and Employment History Example

Candidate Name: Jane/John Doe

Educational History (List most recent degree first)

<u>Institution</u>	<u>Program or Degree</u>	<u>Dates in Program</u>	<u>Degree</u>
University of California, Berkeley	Ph.D. History	1980 – 1985	Ph.D.
University of Michigan	B.A. History	1976 – 1980	B.A.

Employment History (List current appointment first)

<u>Ranks Held</u>	<u>Institution</u>	<u>Department</u>	<u>Effective Date of Rank</u>
Associate Professor	University of Tennessee	History	1994- present
Assistant Professor	University of Tennessee	History	1987 - 1994
Lecturer	University of Arizona	History	1985 - 1987

Certification of Competence to Communicate in English

THE UNIVERSITY OF TENNESSEE, KNOXVILLE, ENGLISH COMPETENCY FORM

I have sufficient evidence to affirm that _____,

who has been recommended to a teaching position in the Department/Unit of

at The University of Tennessee, Knoxville, is competent in communicating in the English
Language.

Department/Unit Head

Date

TEACHING EVALUATION SUMMARY¹

Example

SEM/YEAR	COURSE	# STUDENTS	RANKING				
			COURSE OVERALL	COURSE CONTENT	INSTRUCTOR CONTRIBUTION	TEACHING EFFECTIVENESS	# ADVISEES
FALL/07	SSE 419(4)	12	4.4	4.1	4.6	3.7	15 UG
	ED 401(3)	57	4.4	4.1	4.6	4.9	5 G
	ED 401(3)	53	3.2	4.4	4.1	3.9	
	SSE 593(3)	2					
SPRING/08	ED 401(3)	59	4.4	4.1	3.4	3.7	15 UG
	ED 401(3)	42	3.2	4.1	4.6	4.9	4 G
	SSE 422(3)	6	4.4	4.4	4.1	3.9	
	SSE 523(3)	3					
	SSE 593(3)	1					
FALL/08	ED 401(3)	46	4.4	4.1	4.2	3.7	15 UG
	SSE 419(4)	7	3.2	4.4	4.5	4.9	4 G
SPRING/09	ED 401(3)	50	4.5	4.6	3.2	3.7	25 UG
	ED 401(3)	50	4.2	4.4	4.4	4.9	5 G
	SSE 416(3)	9	4.3	3.1	3.1	3.9	
	SSE 523(3)	2					
FALL/10	FYS 101(2)	18	3.2	4.5	4.6	3.7	25 UG
	SSE 419(4)	10	4.4	4.2	4.4	4.9	5 G
	ED 401(3)	26	4.2	4.3	3.1	3.9	
	ED 574(2)	1					
	ED 575(4)	1					
	SSE 500(3)	1					

¹ Range 5-0: 5=excellent, 0=very poor

Candidate Signature Statement

I hereby attest that I have examined for accuracy the factual and informational parts of my dossier (excluding the external letters of assessment).

Candidate Signature

Date

Letter to External Evaluators for Tenure and/or Promotion Decisions

This letter may be adapted for tenure or promotion decisions as appropriate.

EXAMPLE

Dear _____:

Dr. _____, (rank), is being considered for tenure and promotion to associate professor this year at The University of Tennessee, Knoxville. I would very much appreciate your assessment of Dr. _____'s professional performance.

University policy mandates that I seek evaluations of a candidate from professionals who are qualified to judge the candidate's research/creative achievement, scholarly qualities, career development, and contributions to the discipline. Of particular value would be a frank appraisal of: (1) his/her research abilities and creative achievements, including papers given at scholarly meetings; (2) the quality of his/her publications or other creative work; (3) his/her reputation or standing in the field; (4) his/her potential for further growth and achievement; (5) and whether he/she would be ranked among the most capable and promising scholars in his/her area. It would also be particularly helpful to us in our deliberations if you could rate Dr. _____'s contributions in comparison with others you have known at the same stage of professional development. A copy of his/her *curriculum vitae* and a sample of pertinent publications, and the departmental and collegiate statements of criteria and expectations for tenure and/or promotion are included. Please also describe the nature of your association with Dr. _____.

We are aware of the imposition that this inquiry provides; however, we assure you that guidance from scholars like you is vital to our decision-making process. An early report would be most appreciated as we do hope to have all letters in the file by November 1, _____. You should be aware that the State of Tennessee has a Freedom of Information Law, and therefore, we are unable to guarantee that the candidate will not request to see your letter. However, your letter is not provided to the candidate unless the candidate specifically requests it in writing. Thank you for your assistance in this matter which is of such great importance to us.

Sincerely,

**Log of External Letters of Assessment
Example**

<u>Name</u>	<u>Date of Request</u>	<u>Date of Receipt</u>	<u>Date of Entry into Dossier</u>
Professor Rosemarie Tong Davidson College	phone 7/23/99 letter 8/1/99	9/15/99	9/20/99
Professor Howard Brody Michigan State University	phone 7/23/99 letter 8/5/99	9/20/99	9/22/99
Professor Mary Mahowald University of Chicago	email 8/2/99 letter 8/5/99	9/30/99	10/1/99
Professor James F. Childress University of Virginia	phone 9/15/99 letter 9/20/99	9/27/99	10/2/99
Professor Thomas Akerman University of Kentucky	email 8/5/99 letter 8/10/99 email 9/1/99	not received	

Method of Selection of External Evaluators

Example

The department solicited evaluations of Professor Hindle's scholarship from five scholars in the field of biomedical ethics. All of these scholars are highly respected in Professor Hindle's area of specialization and have published numerous books and journal articles in the area. They were asked to evaluate several of Professor Hindle's journal articles and his recent monograph. Four of the five scholars responded. They are Professor Rosemarie Tong (Davidson College), Professor Howard Brody (Michigan State University), Professor Mary Mahowald (University of Chicago) and Professor James F. Childress (University of Virginia).

Two of the scholars who responded (Tong and Brody) were selected from a list compiled by the department head in consultation with departmental faculty. The other two responses were from scholars selected from a list of possible reviewers provided by the candidate.

Qualifications of External Evaluators

Example

Rosemarie Tong, Ph.D., is Professor in Medical Humanities and Philosophy at Davidson College, and has been Visiting Professor in 1993 at Lafayette College. She is the author of ten books in feminist bioethics, and has published over sixty articles in refereed journals. She has reviewed numerous books for a variety of journals, and is the editor of Rowan & Littlefield's New Feminist Perspectives series, which includes thirteen renowned volumes in contemporary feminist ethics, epistemology and bioethics. She is the series editor of Point/Counterpoint volumes of Political Correctness, Assisted Suicide, and Gun Control. She is on the editorial boards of seven major journals, and has consulted for hospitals, State Departments of Human Resources, and the National Research Council.

Howard Brody, M.D., Ph.D., is Professor of Family Practice and Philosophy, and Director of the Center for Ethics and Humanities in the Life Sciences at Michigan State University. He is a board certified family practice M.D. as well as a Professor of Philosophy. He is the author of four books, twenty-four book chapters, and has published over forty-five articles in national and international refereed journals. He is one of the patriarchs of medical ethics in the U.S.

Mary Mahowald, Ph.D., is Professor in the Department of Obstetrics and Gynecology at the University of Chicago and is also Assistant Director of the MacLean Center for Clinical Medical Ethics at the University of Chicago. She is the author of two books and the editor of three more. She is also the author of two textbooks and over seventy-five articles in excellent refereed journals. She is one of the most highly respected ethicists of her generation.

James F. Childress, Ph.D., is Professor in the Department of Religious Studies at the University of Virginia. He is the author of numerous books and articles in biomedical ethics. Dr. Childress is one of the lions of the field, and one of the most visible and public of all philosophically-trained medical ethicists in the country.

MASTER CHECKLIST FOR TENURE REVIEW

	SUBMISSION RESPONSIBILITY		SUBMISSION REVIEW			
MASTER CHECKLIST OF TENURE REVIEW ITEMS	CANDIDATE	ADMIN	DEPT FACULTY REVIEW	OUTSIDE EVALUATOR	COLLEGE REVIEW	CAO REVIEW
CURRICULUM VITAE	X		YES	YES	YES	YES
ANNUAL REVIEWS		X	YES	NO	YES	YES
TEACHING						
CANDIDATE'S STATEMENT	X		YES	NO	YES	YES
LIST OF COURSES	X		YES	NO	YES	YES
STUDENT EVALUATIONS	X		YES	NO	YES	YES
PEER REVIEW		X	YES	NO	YES	YES
FACULTY/OTHER INPUT	X		YES	NO	YES	YES
HONORS AWARD	X		YES	NO	YES	YES
STUDENT SUPERVISION AND COMMITTEE WORK	X		YES	NO	YES	YES
SELECTED WORK RELATED TO TEACHING: SYLLABI, COURSE MATERIALS, STUDENT WORK,	OPTIONAL		OPTIONAL	NO	OPTIONAL-MAY REQUEST	NO
RESEARCH, CREATIVE WORK, SCHOLARSHIP						
CANDIDATE STATEMENT ALL FACTUAL INFORMATION ADDITION OF FACTUAL INFO	X X X		YES YES YES	NO NO NO	YES YES YES	YES YES YES
SELECTED PUBLICATIONS, VIDEOS, RECORDINGS, AND OTHER EXAMPLES OF RESEARCH AND CREATIVE WORK	X		YES	RECOMMENDED- SELECT ITEMS DETERMINED BY CANDIDATE	YES	NO
SERVICE						
UNIVERSITY SERVICE RECORD PUBLIC SERVICE RECORD PROFESSIONAL SERVICE RECORD	X X X		YES YES YES	NO NO NO	YES YES YES	YES YES YES
EVALUATIVE STATEMENTS FROM APPROPRIATE INDIVIDUALS	X		YES	NO	YES	YES
OTHER INPUT						
EXTERNAL LETTERS LOG OF EXTERNAL LETTERS SELECTION OF REVIEWERS QUALIFICATIONS OF REVIEWERS		X X X X	YES YES YES YES	NO NO NO NO	YES YES YES YES	YES YES YES YES

STATEMENTS OF EVALUATION

DEPARTMENT COMMITTEE		X	YES	NO	YES	YES
DEPARTMENT HEAD		X	YES	NO	YES	YES
COLLEGE COMMITTEE		X	NO	NO	-	YES
DEAN		X	NO	NO	NO	YES
PROVOST		X	NO	NO	NO	-
CHANCELLOR		X	NO	NO	NO	-

APPENDIX C:

UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES POLICY GOVERNING CUMULATIVE PERFORMANCE REVIEW

Excerpted from: Policies Governing Academic Freedom, Responsibility, and Tenure

June 2003

A comprehensive, formal, cumulative, performance review is triggered for following tenured faculty members:

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

Each campus shall establish policies and procedures for peer evaluation of the faculty member's cumulative performance. Within thirty days of being triggered, a CPR Committee shall be convened by the Dean, who shall determine its chair. This committee shall be composed of appropriate, same or higher rank, tenured departmental faculty members (excluding the Head), and appropriate faculty (same or higher rank) from outside the department. The faculty member being reviewed and the Head may each name a campus tenured professor (same or higher rank) to the committee, which normally should have at least five (5) members including the CPR Committee chair, and at least two additional faculty members nominated by the Faculty Senate (one departmental faculty member [same or higher rank] and one non-departmental faculty member [same or higher rank]). The Committee chair shall forward the committee consensus recommendation to the Head, Dean and Chief Academic Officer. Performance ratings for cumulative reviews shall be as follows:

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

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

Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).

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

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

At the end of the time allotted for a CPR Improvement Plan, the Head, CPR Committee, Dean, and Chief Academic Officer shall send a written consensus report to the campus Chancellor, recommending:

- (i) that the faculty member's performance is Satisfies Expectations for Rank and no other action need be taken at this time; or
- (ii) that the faculty member's performance has improved sufficiently to allow for up to one additional year of monitoring of improvement, after which the Head, CPR Committee, Dean, and Chief Academic Officer must by consensus determine if the faculty member's performance is Satisfies Expectations for Rank or recommend that the Chancellor initiate Proceedings, as specified in the *Faculty Handbook*, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee); or

(iii) that the Chancellor initiate proceedings, as specified in the *Faculty Handbook*, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).