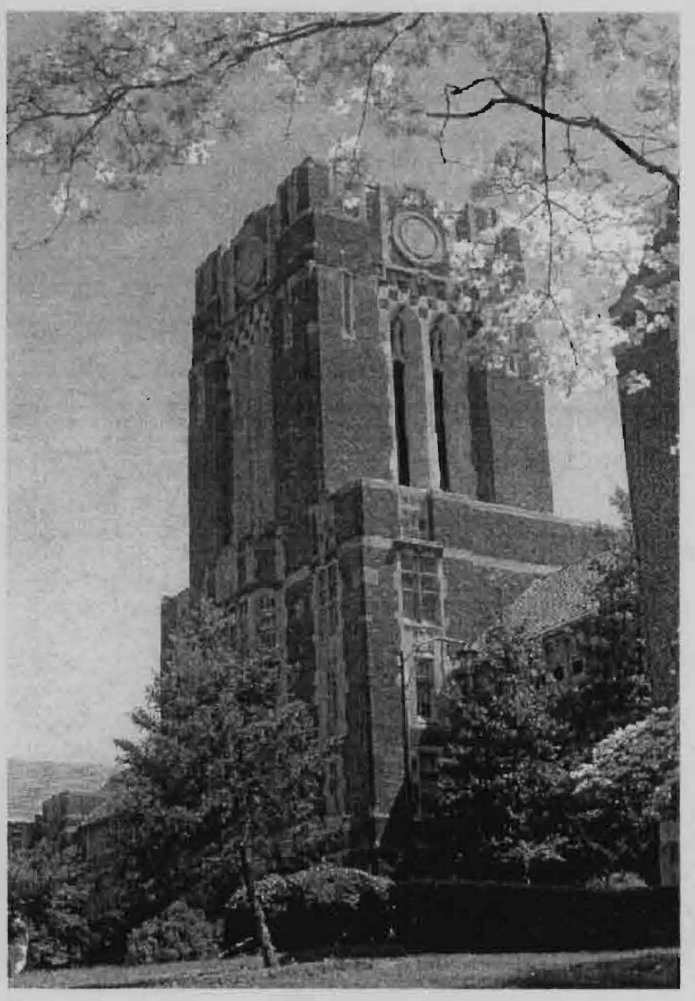
# Manual for Faculty Evaluation

## The University of Tennessee, Knoxville
## 2010



## 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.

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 annexed to this 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 (Last Revised by Faculty Affairs on May 1, 2006)" incorporated in this 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 by regular mail on institutional letterhead and carry the evaluator's signature. Letters submitted via e-mail or facsimile are acceptable in cases of critical timing, but they should be followed by a mailed original. If a mailed letter is received after an e-mail or a facsimile, then both 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.

# APPENDIX A: FORMS

## 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 expectations*[2]
***1 – Unsatisfactory (Poor)**: Falls far short of meeting expectations*[2]

| | ***Unsatisfactory*** | | | | ***Outstanding*** | |
|---|---|---|---|---|---|---|
| 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 merit and performance-based salary adjustments, this faculty member:
____Exceeds expectations (is eligible for significant merit/performance pay adjustments)
____Meets expectations (is eligible for minimum merit/performance pay adjustments)
____Needs improvement (is not eligible for merit/performance pay adjustments)[2]
____Unsatisfactory (is not eligible for merit/performance pay adjustments)[2]

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: _____

[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.

## 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 review[6] (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 review[5] (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]

The chief academic officer recommends: Retention ____ Termination ____

Chief Academic Officer: _____ Date: _____

[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.

# 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 repertories 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 three 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)

| Institution | Program or Degree | Dates in Program | Degree |
|---|---|---|---|
| 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)

| Ranks Held | Institution | Department | Effective Date of Rank |
|---|---|---|---|
| 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 SUMMARY**[1]
**Example**

| | | | RANKING | | | | |
|---|---|---|---|---|---|---|---|
| **SEM/YEAR** | **COURSE** | **# STUDENTS** | **COURSE OVERALL** | **COURSE CONTENT** | **INSTRUCTOR CONTRIBUTION** | **TEACHING EFFECTIVENESS** | **# ADVISEES** |
| ALL/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 | | | | | |
| PRING/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 | | | | | |
| ALL/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 |
| PRING/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 | | | | | |
| ALL/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**

| Name | Date of Request | Date of Receipt | Date of Entry into Dossier |
|---|---|---|---|
| Professor Rosemarie Tong<br>Davidson College | phone 7/23/99<br>letter 8/1/99 | 9/15/99 | 9/20/99 |
| Professor Howard Brody<br>Michigan State University | phone 7/23/99<br>letter 8/5/99 | 9/20/99 | 9/22/99 |
| Professor Mary Mahowald<br>University of Chicago | email 8/2/99<br>letter 8/5/99 | 9/30/99 | 10/1/99 |
| Professor James F. Childress<br>University of Virginia | phone 9/15/99<br>letter 9/20/99 | 9/27/99 | 10/2/99 |
| Professor Thomas Akerman<br>University of Kentucky | email 8/5/99<br>letter 8/10/99<br>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<br>ALL FACTUAL INFORMATION<br>ADDITION OF FACTUAL INFO | X<br>X<br>X | | YES<br>YES<br>YES | NO<br>NO<br>NO | YES<br>YES<br>YES | YES<br>YES<br>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<br>PUBLIC SERVICE RECORD<br>PROFESSIONAL SERVICE RECORD | X<br>X<br>X | | YES<br>YES<br>YES | NO<br>NO<br>NO | YES<br>YES<br>YES | YES<br>YES<br>YES |
| EVALUATIVE STATEMENTS FROM APPROPRIATE INDIVIDUALS | X | | YES | NO | YES | YES |
| **OTHER INPUT** | | | | | | |
| EXTERNAL LETTERS<br>LOG OF EXTERNAL LETTERS<br>SELECTION OF REVIEWERS<br>QUALIFICATIONS OF REVIEWERS | | X<br>X<br>X<br>X | YES<br>YES<br>YES<br>YES | NO<br>NO<br>NO<br>NO | YES<br>YES<br>YES<br>YES | YES<br>YES<br>YES<br>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).

# Best Practices Statements

**These statements reflect the work of several Faculty Senate committees and were initially included as appendices to the 1999 Manual for Faculty Review. Following additions and revisions drafted by the Faculty Affairs Committee, the current Best Practices Statements were presented to and approved by the Faculty Senate for inclusion in the Manual for Faculty Review.**

## BEST PRACTICES FOR ASSESSMENT AND REVIEW OF FACULTY TEACHING

**This statement reflects input from the Teaching Council, Faculty Senate Faculty Affairs Committee, and the Executive Committee of the Faculty Senate. This document incorporates changes approved by the Faculty Senate on May 1, 2006.**

This document is intended to provide ideas, suggestions, and possible best practices for evaluating faculty members. These ideas are promoted by the Teaching Council and the Faculty Affairs Committee and should be considered as recommendations.

### Goals and Approach for the Review of Teaching

The University of Tennessee, Knoxville, is dedicated to excellence in teaching. Excellence means effectively providing learning experiences that prepare students for the challenges of a complex, ever-changing, and diverse workplace and society. To promote and identify excellence, The University of Tennessee, Knoxville, must have an effective process for review of teaching. The goals of the review process are to: (1) improve the quality and emphasize the importance of teaching across the campus, (2) reward excellence in teaching with positive incentives, (3) recognize the quality of faculty teaching to those within and outside the university, (4) promote the scholarship of teaching, (5) recognize teaching as one aspect of outreach, (6) encourage the connection between teaching and research, (7) provide means for protecting intellectual freedom, and (8) foster high standards among faculty in the university community.

The effectiveness of teaching is cited specifically as a key criterion in the *Faculty Handbook* in matters of professional advancement including retention, promotion and tenure. The process of regular assessment of teaching should be included in the bylaws of all units where teaching is conducted. Review of teaching should be multi-faceted, including inputs from the faculty member being reviewed, peers, and students. As the various departments across the University are quite diverse in function and size, details of the review process will vary by discipline to accommodate diversity in teaching techniques and content. This process of teaching assessment and review should be designed to minimize burdens for faculty, administrators, and students.

### Assessment and Review

Assessment is a critical step to improve the quality and status of teaching. For the purposes of this document, assessment of faculty teaching includes feedback about strengths and areas for improvement based on inputs from the faculty member being reviewed, as well as from peers, and students. Faculty members should gain an understanding of their strengths and areas for improvement through self-examination, dialogue with peers, and feedback from students. An assessment should not include a performance rating.

Review is an indicator of whether a faculty member's teaching exceeds, meets, or fails to meet a specified standard articulated in department bylaws. The review and the resulting performance measure are necessary to recognize excellence in teaching. Review will be the responsibility of the department head and will result in a specific performance measure, which synthesizes the results of the self, peer, and student reviews.

**Teaching Review Process**

***Self Assessment***

Self assessment allows faculty members to reflect on their teaching both for their benefit and to facilitate dialogue about their teaching with others. Tenured and tenure-track faculty members should conduct two forms of self assessment of their teaching. As part of their annual review document, faculty should write a brief narrative with a description and analysis of their teaching. In preparation for a peer assessment of teaching, faculty should compile a more extensive document as outlined below.

A self assessment review produced in conjunction with a peer assessment of teaching would include a person's teaching philosophy and may also include, but not be limited to, self-assessment results from previous reviews, teaching goals, methods for achieving these goals, and plans for achieving teaching excellence. The document may be supported by a teaching portfolio that illustrates implementations or successes of the philosophy, documents activities such as short courses that improved teaching skills, considers alternative teaching objectives and methods, or possibly other aspects of teaching for the faculty member being reviewed. For tenure-track faculty, their mentor may offer advice in preparing the self assessment document. The self assessment document should be given to the peer review team at the beginning of the review process.

***Peer Assessment***

Peer assessment provides faculty members with feedback from their peers that will assist them in identifying strengths and areas for improvement in their teaching. Peer assessment of teaching can foster constructive dialogue about teaching that can benefit not only the faculty member under review, but the members of the peer assessment team.

A peer teaching review should be conducted for a tenure-track faculty member typically twice during their probationary period, and for a tenured faculty member at least once prior to consideration for promotion. Department bylaws may specify more specific intervals for peer assessment, as well as whether or if full professors are reviewed. Where special circumstances arise, a faculty member has the right to request reconvening of a peer assessment team or formation of a new peer assessment team in the interval between scheduled peer reviews. Peer assessment of teaching should also be conducted as part of a "triggered" cumulative review of tenured faculty as described in the Faculty Handbook (3.8).

The peer assessment team should consist of three tenured faculty members. One is

selected by the faculty member under review, one by the department head, and the third is agreed upon by the two. Departments are encouraged to have at least one faculty member from outside the department included on peer assessment teams.

Department bylaws should address the process of peer assessment of teaching. The peer review team should offer feedback that: (1) considers whether the courses of the faculty member have appropriate content and offer students sufficient opportunity to acquire appropriate skills; (2) considers whether the grading system and review/assessment tools are consistent with course content and student skill development; (3) examines the teaching methods of the faculty member for effectiveness; and (4) recognizes the potential risks and benefits inherent in innovative teaching methods. Feedback is facilitated by meetings with the faculty member to discuss teaching before, after, and otherwise as needed or requested during the assessment process.

Feedback may be based on: (1) examination and discussion of materials for the course (e.g., handouts, tests, web pages, etc.); and (2) observation in the classroom or instructional setting for at least one course being taught during the semester of the peer assessment. The peer review team will produce a report and discuss the content with the faculty member being reviewed. After discussing the report with the department head, the faculty member being reviewed has the right to submit a written response to the report. The report and response (if any) should be part of promotion and tenure considerations.

***Student Review***

Student review of teaching is mandated. To increase the feedback component of the student review, written student comments should be solicited in addition to any mandatory questionnaire. Results of the open-ended student comments would be returned to the faculty member after grades are sent to the central administration. The faculty member may chose to include a summary of open-ended comments as part of their promotion and tenure dossier or as part of a self-assessment of teaching. While student review of instruction occurs each semester, it should not receive greater weight than self or peer assessments during the faculty review processes.

***Annual Review by the Department Head***

Annual reviews should include a brief self assessment the results of student reviews and the peer assessment of teaching if it was held during the preceding year. The three criteria and performance measures for the annual review should include:

1) Assuming that a department has agreed to the roles of its courses, do courses of the faculty member have appropriate content and are students given opportunity to acquire the appropriate skills?

(2) Are the grading system and review/assessment tools consistent with course content and student skill development?

(3) Are the teaching methods of the faculty member effective?

The assessment results – particularly the peer assessment – should be given considerable weight in the annual review by the department head. The standards for the review are to be constructed by each department.

After an annual review, the faculty member has the right to an additional previously unscheduled peer assessment with self assessment, if she/he believes it to be appropriate.

The results of the annual teaching reviews will be documented by the department head in terms of the standards established by the faculty of that department and using the campus-level system of performance categories.

## BEST PRACTICES FOR EVALUATING FACULTY RESEARCH/SCHOLARSHIP/CREATIVE ACTIVITY

**(Last revised by Faculty Affairs on May 1, 2006)**

This section is intended to provide ideas, suggestions, and possible best practices for evaluating faculty members. These are promoted by the Research Council and should be considered as recommendations.

### Goals

One of the three basic missions of the University is research, which is the foundation and key to all learning that occurs at the University. Research may be simply learning at the most advanced, creative, and systematic edges of knowledge where discovery and imagination constantly recast the relation between the known and the unknown. This best practices document follows the formulation of the *Faculty Handbook* for research as research, scholarship and creative activity, so as to recognize the broad diversity of faculty contributions to this institutional mission. While the research of discovery is a major contributor to this mission, the research of application and integration are central to the contribution of some colleges and departments to the mission. Interdisciplinary collaboration in research, scholarship, and creative activity also contribute to the mission, and should be strongly encouraged where appropriate.

Research, scholarship, and creative activity should not be measured only in terms of quantity but also in terms of quality. In each discipline, certain outlets and venues for research, scholarship, and creative activities are considered to be more prestigious and to demonstrate greater merit than others. Publication, presentation, exhibition, or performance through these settings should be recognized as demonstrating a high standard of merit. Because standards of merit vary greatly, primary assessment of quality measures should be made within a discipline, or across contributing disciplines, where appropriate. While the appropriate mix of research, scholarship, and creative input and output activities may be specific to a given discipline, some general dimensions of research, scholarship, and creative achievement can be identified:

### Input Activities

Faculty members must engage in input activities to achieve research, scholarship and creative activity outputs by which they will be judged. These input activities could include:

- Selecting realistic yet challenging topics for research, scholarship and creative activity;
- Using appropriate methods and techniques in meeting objectives;
- Optimizing the outputs of research, scholarship and creative activity relative to inputs, such as time, personnel, materials, facilities and equipment;

- Internalizing responsibility for research, scholarship and creative achievement program effectiveness;
- Expending personal effort in the research, scholarship and creative activity effort;
- Investing in professional growth and development;
- Providing leadership in research, scholarship and creative activity efforts;
- Adhering to high standards of professional conduct in research, scholarship and creative activities;
- Integrating short-term and long-term goals into a comprehensive strategy of research, scholarship and creative activity;
- Conducting on-going projects to a timely conclusion;
- Committing appropriate efforts to seeking external funds;
- Securing appropriate external funds;
- Providing effective oversight to externally funded activities;
- Committing appropriate efforts to joint research, scholarship and creative activity.

**Output Activities**

Faculty members are evaluated in research, scholarship and creative activities. Faculty members are encouraged to consider the following questions when assessing performance:

- Are research, scholarship and creative activity outputs provided to collaborators in a timely manner?
- Is the research, scholarship and creative activity innovative and does it serve important constituencies?
- Does the research, scholarship and creative activity demonstrate merit?
- Is the research, scholarship and creative activity output commensurate with research responsibilities and available sources?
- Does the research, scholarship and creative activity contribute to the mission of the department, college and University?
- Does the research, scholarship and creative activity contribute to the goals of the discipline at large?
- Does the research, scholarship and creative activity contribute to the betterment of the larger community and the people of Tennessee?
- Are the research, scholarship and creative activity outputs communicated effectively to appropriate audiences through appropriate vehicles (print and electronic journals, non-traditional peer-reviewed venues, conference proceedings, presentations, performances, etc.) in a timely manner;
- Has the research, scholarship, creative activities resulted in awards, key-note presentations, major teaching assignments, grants and other forms of recognition;
- Are the research, scholarship and creative activity outputs protected as university property and used, when appropriate, to advance institutional entrepreneurial goals?

## BEST PRACTICES FOR EVALUATING FACULTY SERVICE

**(Last reviewed by the Faculty Affairs Committee on May 1, 2006)**

Chapter 2.2.4 of the *Faculty Handbook* affirms that faculty members are expected to offer professional knowledge, skills, and advice from their disciplines to their communities (University, profession, and public). Service activities, whether compensated or not, that draw on professional and disciplinary expertise, relate to the teaching and research and outreach missions of the University, and, typically, imply a connection to the University. The scope and nature of university, professional and public service may vary somewhat by discipline as articulated in college and department bylaws. Compensated Outside Activities are not regarded as service as they are not evaluated as part of the faculty member's annual review.

Sharing professional expertise with those outside the academy is both an educational experience and a test of the results of research, scholarship and/or creative activity. It follows that not all "services" faculty members perform will be relevant to the University's judgment of their work. Activities in which faculty engage that do not involve their professional expertise - activities centered on the family, neighborhood, church, political party, or social action group - are commendable as being the normal commitments of citizenship, but are not components of the annual review of a faculty member. When involved in those activities, faculty members do not typically present themselves as representatives of the University.

### Institutional Service

Service to the University may include, but is not restricted to, the following activities:

- Participation in the review of the teaching and research of peers;
- Service as mentor to a tenure-track faculty member;
- Active service on the Faculty Senate or other department, college, campus or university committees;
- Participation in the development of interdisciplinary or inter-university programs and/or courses.

### Disciplinary Service

Service to the disciplinary specialty (local, regional, national or international in scope) may include, but is not restricted to, the following:

- Active service in leadership structure or on a committee of a professional organization;
- Service on the editorial board of a journal;
- Maintenance of web site or moderation of listserve;
- Service as a reader for a journal, university press or funding agency/foundation.

**Professional Service**

Faculty members benefit the community beyond the institution by lending their professional expertise to aid or to lead organizations that create beneficial linkages between the university and the community. These activities may include, but are not restricted to:

- Advising on matters within the professional expertise of the faculty member;
- Conducting workshops or presentations in one's area of expertise;
- Enhancing K-12 education;
- Engaging in creative activities and research projects which are intended to benefit the public;
- Evaluating community sponsored programs or activities.

While service is, like teaching and research/scholarship/creative activity, a required component of the professional life of a faculty member, the type and amount of service a faculty member engages in will vary from year to year and from department to department. Specific service expectations will be negotiated by the faculty member and the department head at the annual planning and review conference. For tenure-track faculty or faculty who do not meet expectations for rank, service is not a substitute for the establishment of a solid record of independent research and/or creative activities and quality instruction, and as such, service activity may need to be limited in its type and amount until the faculty member has a record of teaching, research/scholarship/creative activity that meets expectations.

## BEST PRACTICES FOR FACULTY-TO-FACULTY MENTORING

**(Last Revised by Faculty Affairs on May 1, 2006)**

### Introduction

Faculty-to-faculty mentoring assists tenure-track faculty members to balance and improve their performance in research/scholarship/creative activity, teaching, and service. The aim of mentoring is to support junior faculty members in becoming productive and successful members of the university community.

This best practices document developed from a survey of junior faculty initiated by the Faculty Senate with the assistance of the UT Office of Institutional Research and Assessment. Three recommendations emerged:

1. New hires should meet with the unit leader to assess mentoring needs. Mentors(s) should be chosen during the first semester of employment.

2. The faculty member, mentor(s), and unit leader should meet to clarify roles, responsibilities, and how these will be carried out.

3. The unit leader is responsible for monitoring existing arrangements, reassessing needs, and facilitating changes. Monitoring mentoring relationships should be done annually.

With these and other recommendations, the Faculty Senate Professional Development Committee compiled the following recommendations to strengthen and enhance faculty-to-faculty mentoring.

### Description

Through this mentoring program, tenured faculty (mentors) are matched with new faculty (mentees) to orient them to UTK, serve as sources of information, and assist them in the early stages of their academic careers. Mentors will create a positive, supportive environment in which they can guide mentees in developing strategies for attaining tenure and promotion.

### Matching Mentors and Mentees

- The Department Head will consult with a potential mentor(s) to confirm his/her willingness to serve as a mentor.
- Prior to assignment, new faculty may meet with potential mentor(s) to assess compatibility.
- A new faculty member may request more than one mentor, if desired, to advise on different aspects of his/her appointment (e.g., teaching, research, grant writing, professional practice, interdisciplinary activities). Mentors do not have to be in the same department as the new faculty member.

- The Department Head will, in consultation with the new faculty member, formally assign the mentor within the first semester of the new faculty member's appointment.
- The mentoring relationship may be discontinued by either party, at any time, for any reason. If this occurs and the new faculty wishes to have a new mentor, the Department Head will again work with the faculty member to assign a new mentor.
- The mentoring relationship does not have a set duration. It is likely, however, that most mentoring activities (with one or more mentors) will carry on throughout the new faculty member's probationary period.

**Mentor Qualifications**

- Mentors may be selected from tenured Associate or Full Professors, and should be professionally mature and successful.
- Mentors should have experience within the department and should be able to acquaint the new faculty member with departmental culture and expectations for research, teaching, extension, service, and professional practice.
- Mentors should have an appreciation/understanding for the discipline of the new faculty.
- Mentors should be based primarily on campus during the first year of mentoring and readily available during subsequent years.

**Roles and Responsibilities of Mentors**

Mentors should be considered professional "friends" who have the best interests of their mentee at heart and who will advocate for their mentees. Their roles include coach, career guide, role model, instructional resource, or confidant, depending on the needs of their mentees and the nature of their mentoring relationship. This may include:

1. Meet with Department Head and mentee to clarify roles and responsibilities, and how these will be carried out.
2. Take initiative for contacting their mentees and staying in touch.
3. Devote time to the relationship and be available when requested.
4. Assist mentees with various questions, needs, or concerns.
5. Share their knowledge and experience and track mentee's progress.
6. Maintain confidentiality of information shared by their mentees.
7. Treat mentees with respect and consideration, and foster collegiality.

**Suggested Mentoring Activities**

- Develop research concepts, and provide editing and critical review of proposals. Advice may include on-campus administrative procedures.
- Help with teaching procedures including development of courses, preparation of a syllabus, and identification of teaching resources.
- Discuss student issues including motivation, academic ethics, student resources, and academic support services on campus.
- Discuss long- and short-term career goals and interests.
- Share experiences on managing time, handling stress, and balancing workload effectively.

- Discuss preparations for retention reviews and tenure.
- Identify professional development opportunities.
- Help in understanding departmental protocols and procedures.
- Address special needs, questions, and help in troubleshooting difficult questions.

**Benefits to Mentors**

Tenured faculty members who agree to mentor make a commitment to devote their time and effort
to help new faculty become successful. Mentors experience the unique satisfaction of guiding new colleagues, sharing their ideas about teaching and research, and helping their department and UT develop excellent faculty.

**Roles and Responsibilities of Mentees**

1. Mentees can take on various roles such as friend, protégé, new colleague, or junior faculty, depending on their needs, academic experience, and the nature of the mentoring relationship.
2. Meet with potential mentor(s) to assess compatibility and personality.
3. Meet with Department Head to finalize selection of mentor(s).
4. Meet with or exchange memos with Department Head and mentor(s) to clarify roles and responsibilities, and how these will be carried out.
5. Create annual professional development plan.
6. Meet in person regularly with mentor, and frequently by phone and email.
7. Seek support and guidance; don't try to "go it alone."
8. Devote time to the mentoring relationship.
9. Make use of opportunities provided by mentor(s).
10. Keep mentor informed of academic progress, difficulties, and concerns.

**Benefits to Mentees**

Mentees have an experienced guide(s) to help them through the formative years of professional development. This crucial relationship will provide the mentee with the opportunities, connections, and networking that is necessary for success, in an atmosphere, that fosters respect, consideration, and collegiality.

## BEST PRACTICES AND RECOMMENDATIONS REGARDING THE SUPERVISION AND DEVELOPMENT OF NON-TENURE-TRACK TEACHING FACULTY

**(Approved by Faculty Senate on March 29, 2010)**

Chapter 4 of the *Faculty Handbook* recognizes three types of non-tenure-track faculty positions: teaching, research, and clinical. Faculty members in each type of position contribute to the instructional, research and service missions of the university in different ways. This document focuses on the particular contributions and related needs of the non-tenure track teaching faculty. It was prepared by Drs. Susan Martin, John Zomchick, and Sarah Gardial during FY2009, based on the earlier discussions with an ad hoc Task Force on Lecturers. It has been reviewed and revised based upon input from the Council of Deans and the Faculty Senate's Faculty Affairs Committee. This document contains recommendations that each academic department is encouraged to implement as fully as possible. However, it is recognized that special needs of individual units may require exceptions or modifications.

As parts of a research intensive university, the University of Tennessee, Knoxville (UTK) and the University of Tennessee Institute of Agriculture (UTIA) increasingly depend on the best efforts of a valuable cadre of non-tenure-track teaching faculty (NTTF) (normally holding the title of Lecturer) a) to expand our overall instructional capacity b) to create instructional efficiencies that allow our tenure-track faculty to engage more extensively in research, scholarly, and creative activities, c) to be, in some instances, the primary source of instruction for teaching-intensive classes with high demand, including many general education courses, d) to provide administrative and student support outside of the classroom, and e) to complement our tenure-track faculty by bringing valuable professional experiences to classrooms and curricula.

The growth in numbers and importance of our NTTF in the last ten years makes it imperative that UTK/UTIA continue to extend existing practices of moving towards hiring predominantly full-time, benefit-eligible NTTF, endowed with all the rights and responsibilities that are currently enumerated in chapter 4 of the *Faculty Handbook*. It is in university's best interests to devise and promulgate policies that recognize these individuals as important contributors to our instructional mission. This being the case, it is time to bring a more consistent and professional approach to hiring, retaining, and developing these faculty members. This "best practices" document should lead to improved hiring, employment, and supervision protocols; enhanced instructional support and feedback; increased opportunities for advancement and professional development; and greater acknowledgement of their contributions to our mission.

1. Minimum qualifications

UTK/UTIA adhere to the Southern Association of Colleges and Schools (SACS) requirements regarding professional qualifications of faculty. (See Appendix A) In

general, preference is given to hiring lecturers who have earned a terminal degree in the discipline. Within the framework of the SACS requirements, individual units may establish more narrowly or broadly defined sets of guidelines tailored to the academic needs of the unit and sensitive to the limitations of the job market in their particular discipline, subject to approval by the college dean and the Provost.

2. Search Process

There is currently no requirement that departments follow university search procedures in the recruitment of lecturers. This report recommends that, when new lecturer positions are needed, searches use a combination of national, regional, and local recruitment strategies to develop a pool of qualified candidates. These strategies include:

- annual advertisement in the *Chronicle of Higher Education* (see process described below)
- advertisement through disciplinary list servers
- soliciting candidates through networks of local contacts

**Process for National Advertising**

The position of Lecturer is a renewable, year-to-year, non-tenure track appointment. The Office of the Provost, the Office of Equity and Diversity (OED), and the Office of Human Resources (HR) have developed a process designed to recruit persons interested in Lecturer positions. This process is summarized below:

- Each spring (March), the Office of the Provost will contact all departments and request a listing of anticipated Lecturer positions potentially needed for the upcoming academic year.
- The Office of Human Resources will publish the listing of anticipated positions along with appropriate qualifications in the *Chronicle of Higher Education* and with the Office of Equity and Diversity for posting on HigherEdjobs.com and InsideHigherEd.com.
- All applicants interested in the anticipated positions will submit resumes to the Office of Equity and Diversity. Upon receipt of the resume, OED will:
  - properly notify applicants of receipt of the resume and request completion of the UT Self-identification Form; and,
  - notify departments of the resumes and encourage their review and consideration.
- Resumes submitted for the anticipated lecturer positions will be maintained by OED for a period of one year. The pool should be refreshed each year through the same combination of recruitment techniques.

**Process for Appointment**

Units will develop procedures for screening and appointing lecturers consistent with Chapter 4 of the *Faculty Handbook*.

- Departments will select candidates for review, conduct campus interviews, and notify all appropriate offices (College, Office of the Provost, and Human Resources) of persons pending job offers.
- Official letters of offer will be sent by the Office of the Provost.
- The Office of Human Resources will work with the department to schedule New Hire Orientation.
- The Office of Human Resources will submit a copy of the job acceptance letter to the Office of Equity and Diversity so that the OED search file can be closed.

**Process for Reappointment**

Because the position of lecturer is a renewable, year-to-year, non-tenure track appointment, all lecturers must be re-appointed annually. The following is the recommended process for the reappointment of lecturers.

- All current lecturers are notified of the opportunity for positions for the next academic year as early in spring semester as possible and given a timeline to apply
- The department reviews and screens applications from current as well as new or returning applicants (from whatever source including the national ad process described above)
- After selecting the lecturers to be appointed for the next year, the department notifies all appropriate offices of new appointments
- Letters of reappointment are issued by the Provost's office

3. Term of Initial Appointment

UTK/UTIA follow most of our peer institutions in confirming one year as the normal term for an initial appointment. Our preference is to hire full-time lecturers with benefits to the extent possible.

4. Workload and Evaluation for Lecturers

**Workload**

- Lecturers appointed at 100% teach 12 credit hours per semester. Some departments, with the approval of the dean and the vice provost for academic affairs, may substitute number of students taught for credit hours. Because there can be no single formula that will cover all such substitutions, it is the responsibility of the department to show that the proposed number of students taught per semester is comparable to the work load of lecturers who teach 12 credit hours.

- Lecturers may have their teaching workloads adjusted in order to perform administrative or other important service tasks, essential to the efficient operation of the unit. Such tasks might include, but are not limited to, student advising,

coordination of a course or set of courses with multiple sections and instructors, committee service, or professional development that requires a substantial commitment of time.

- In every case, workload adjustments will be determined by the administrative head of the unit and are subject to review by the college dean and the Provost.

**Evaluation**

- Every lecturer must be evaluated annually, but not every annual evaluation must be equally extensive. Individual units should determine the appropriate kinds of evaluations, including intervals for extensive and less extensive evaluations.

- The nature of the evaluation will be determined by the responsible unit. It is strongly recommended that lecturers in the unit participate in establishing and, where appropriate depending on the size of the lecturer population, reviewing evaluation criteria and processes.

- Lecturers will be evaluated based on their workload. For lecturers whose sole responsibility is instruction, the evaluation should cover most if not all of the following elements.

    a. Peer evaluation of classroom instruction
    b. Review of SAIS scores
    c. Review of course materials, both print and electronic
    d. Review of grading, including examples of graded assignments, where appropriate

- Lecturers should also be given the opportunity of showing evidence of professional development as part of their annual review. While such examples will vary according to discipline, they might include attendance at professional conferences, participation in workshops aimed at improving course delivery (including the innovative use of technology in the classroom), outside professional activity related to the discipline, and so on.

- Annual evaluations of lecturers are to be kept on file in the responsible unit. In the event that a lecturer seeks promotion to the next level on the career ladder, these evaluations will become part of the promotion dossier

- Annual evaluations should be the basis for merit raises, when such raises are available, as well as provide a basis for decisions regarding staffing and contract renewal.

5. Professional Development

Across the board at our peer institutions, professional development opportunities for

NTTF seem to vary by department and are dependent on funding. Following are items typically included under the category of professional development.

- Travel support for professional conferences (all peer institutions appear to offer some level of travel funding for lecturers)
- Faculty development workshops (both departmental and via Centers for Teaching)
- Awards (for teaching, release time, etc.)
- Mentoring by senior faculty
- Professional leave (LSU)[1]

Likewise, professional support for UTK/UTIA NTTF varies by unit. Some examples of campus, college, and departmental initiatives are listed in Appendix B. While the relative dependence on NTTF support and financial resources will obviously vary by college, and even by department within a college, every effort should be made to utilize professional development as a way of attracting, retaining, and developing these faculty members.

**Recommendations**

- Lecturers should be provided with the means to remain professionally active in their field, including travel to professional conferences. Departments should be encouraged to establish faculty development funds that support professional conference travel for lecturers, especially when related to pedagogical duties. When department funds are not available, the College/University should provide opportunities for lecturers to compete for funding.

- Departments should be encouraged to expand faculty development opportunities (workshops, mentoring, teaching exchanges, peer class visits, etc.) to support and enhance the teaching of lecturers. There should be continued development of pedagogical workshops (like "Best Practices in Teaching") through the Teaching and Learning Center that would create a dialogue about teaching that crosses rank and discipline.

- Lecturers are currently eligible for certain existing teaching awards. The University, as well as its Colleges and Departments should consider creating new awards to recognize outstanding teaching, scholarship, and service by Lecturers.

- The University should explore ways to make Lecturers eligible for course release time to work on course development and other mission-appropriate forms of

[1] Faculty leave policy at LSU:
Full-time faculty at the rank of instructor (or equivalent) or above who have completed six years of service on the campus without having received leave with pay may petition for sabbatical leave for study and research to enable them to increase their professional efficiency and usefulness to the University.

professional development.

- Lecturers are currently eligible for certain grants and may participate in studies as PIs. Grants on pedagogy and innovations in teaching should be further encouraged.

6. Governance

Colleges, schools, departments, and other academic units should review what roles (if any) they wish to extend to lecturers or other non-tenurable faculty in terms of governance. The use of the term "faculty" without any modifiers may be ambiguous, and academic units and faculty organizations should be clear as to whether they intend to include or exclude lecturers when using that term to describe who qualifies for membership and voting privileges. Academic units can consider which privileges of membership, such as voting privileges, should be extended to lecturers and to what extent. Units may also wish to decide whether lecturers should be eligible to serve on advisory or other governance committees. Faculty organizations should examine whether they wish to include lecturers in their membership and whether lecturers should be allowed to vote in the organization's elections.

7. Reappointment and Career Ladders

**A Career Ladder Proposal for Lecturers**

In view of retaining and hiring excellent teaching faculty, we recommend a three-tiered career ladder parallel to that of professorial faculty. This career ladder would include the titles of Lecturer, Senior Lecturer and Distinguished Lecturer. Pay raises would be associated with promotion from Lecturer to Senior Lecturer and promotion from Senior Lecturer to Distinguished Lecturer. Promotion is based on a review of teaching, service, professional development, and collegiality. Tenure will not be awarded at any of these ranks, and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position.

**Lecturer Rank**

The initial hire for a NTTF lecturer would typically be at the lecturer rank. A NTTF may stay at this level for an indefinite period of time on renewable, one-year contracts. The following criteria should be considered for performance at this rank.

- Good instruction as evidenced by student evaluations, supervisor reviews, peer reviews, and annual departmental evaluations.
- Participation in department meetings and workshops related to programs of instruction.
- Well-developed instructional materials as required by the program.
- Adherence to the policies and procedures outlined the University of Tennessee Teaching Guide.

**Senior Lecturer Rank**

After five years as a Lecturer, faculty members would be eligible to apply for a position as Senior Lecturer. Promotion to the rank of senior lecturer may be accompanied by a renewable contract of up to three years. The main criterion for promotion to Senior Lecturer would be:

- Demonstration of outstanding teaching of undergraduate courses as evidenced by student evaluations, supervisor evaluations, peer evaluations, and annual departmental evaluations.

Other criteria used to determine promotion would be those related to the enhancement of teaching. They would include participation in the following types of activities.

- Professional development
- Course or curricular development
- Advising or mentoring
- Administration or service
- Scholarly or creative work

**Distinguished Lecturer Rank**

Senior Lecturers who have demonstrated significant achievement in two or more of the areas outlined above since their promotion to Senior Lecturer may apply for a position as Distinguished Lecturer. The time frame for this promotion would be flexible, but a three-to-five year period of time as a Senior Lecturer before initiating the promotion process is suggested. Promotion to the rank of distinguished lecturer may be accompanied by a renewable contract of up to five years.

**Promotion Process**

Promotion in rank for any NTTF is neither a requirement of continued employment, nor an entitlement for years of service without evidence of exceptional merit, continued professional development, and contribution in the assigned role. An approved promotion in rank is recognized by a change in title, increasing length of appointment contract, and a base salary adjustment.

NTTF members are eligible for promotion in rank in accordance with guidelines established by academic departments and approved by the appropriate dean and the Office of Academic Affairs. Such guidelines should outline the process and criteria for promotion to rank; they should be widely available along with other departmental and college documents related to promotion and tenure.

Consideration for promotion in rank shall include preparation of a dossier using a common university format, which may be based on relevant elements of the promotion and tenure dossier format for tenure-track faculty members. Typically such a dossier would include a statement of professional direction and accomplishment, a full *curriculum vitae*, and documentation of contribution to the instructional program. Colleges and departments may request supplemental materials. Guidelines for dossier development and departmental policies and procedures for the promotion process must be approved by the department, the appropriate dean, and the university's Office of Academic Affairs.

Dossier review will occur at the separate levels: the department, the college, and the Office of Academic Affairs. Final approval of all promotions rests with the Office of Academic Affairs.

Given that promotion decisions do not carry the same "up or out" decision associated with tenure, a negative recommendation on a promotion request need not translate into termination of employment. Faculty members may remain at the present rank as long as their performance warrants continue employment and serves departmental needs.

Appendix A: SACS Statement
(From *Principles of Accreditation*, Section 3: Comprehensive Standards)

3.7.1 The institution employs competent faculty members qualified to accomplish the mission and goals of the institution. When determining acceptable qualifications of its faculty, an institution gives primary consideration to the highest earned degree in the discipline in accordance with the guidelines listed below. The institution also considers competence, effectiveness, and capacity, including, as appropriate, undergraduate and graduate degrees, related work experiences in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. For all cases, the institution is responsible for justifying and documenting the qualifications of its faculty.

*Credential Guidelines:*
*a. Faculty teaching general education courses at the undergraduate level: doctor's or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).*
*b. Faculty teaching associate degree courses designed for transfer to a baccalaureate degree: doctor's or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).*
*c. Faculty teaching associate degree courses not designed for transfer to the baccalaureate degree: bachelor's degree in the teaching discipline, or associate's degree and demonstrated competencies in the teaching discipline.*
*d. Faculty teaching baccalaureate courses: doctor's or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline). At least 25 percent of the discipline course hours in each undergraduate major are taught by faculty members holding the terminal degree—usually the earned doctorate—in the discipline.*
*e. Faculty teaching graduate and post-baccalaureate course work: earned doctorate/ terminal degree in the teaching discipline or a related discipline.*
*f. Graduate teaching assistants: master's in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations.*

Appendix B: Examples of UTK/UTIA NTFF Professional Development Opportunities

Travel Support

*English:* $2100 per academic year.

*Math:* Limited funds available when there is extra money, but this is not advertised and lecturers must ask for funding.

*Speech Comm*: Will fund travel to academic conferences to present refereed papers at one-half the conference room rate and expenses for travel to the conference.

*Management:* $2000 in travel funds (can vary according to budget).

*MFLL*: Limited funds available on a first come, first served basis (no funds this year due to budget constraints and funding needs for 300-level courses).

Faculty Development Workshops

"New Faculty Orientation" for both TT and NTT faculty across the campus (in August before classes begin).

Campus-wide "Best Practices in Teaching" workshops through the Tennessee Teaching and Learning Center.

*English:* Fall teaching workshops are held the week before classes begin, with an end-of-fall workshop in December and informal brown-bags and discussions of teaching throughout the year.

*Math:* Lecturers may be invited to the GTA training sessions. All new instructional personnel (all ranks) watch video on avoiding sexual harassment. Mandatory meetings each semester about courses that lecturers teach. Follow-up meetings during the semester with course coordinators.

*Speech Comm:* Participation in training sessions required or individual sessions with coordinator.

*Management:* Four-day intensive course on teaching for new or inexperienced lecturers.

*MFLL:* Four-day fall workshop combining preparation for the semester with more general workshops on teaching techniques. Short meetings (one or two days) at the beginning of spring semester devoted to practical matters.

Awards and Grants

A variety of awards and grants are available, both at the college- and campus-level. These include the following.

ITC "Faculty First" Grants available to all faculty, TT and NTT.

Professional Development and Research Awards (Office of Graduate Studies): "Grants of up to $5,000 will be awarded to faculty members who have specific needs for funds to support research or creative projects.... Priority will be given to applications from full-time, tenure and tenure-track faculty at the rank of Assistant Professor or above. Non-tenure-track lecturers and instructors may also apply."

Chancellor's Excellence in Teaching Award (open to all ranks)

College Lecturer Teaching Awards (e.g., A&S, CCI, and CBA).

Ready for the World Citation Award and RFTW project proposal funding (up to $5,000).

*English:* an award recognizing teaching excellence by providing release-time awards for lecturers to conduct research, develop a new course, or take a graduate course; also release time for lecturers serving on time-intensive committees or in administrative positions.

*Management*: funding from the Dean and Dept. Head to take classes relevant to pedagogical interests and course development