



Department of Chemistry

TENNESSEE TECH

Date: 19 February 2018

From: Ad Hoc Committee on Tenure & Promotion

(J. Boles(Chair), H. Anthony, O. Ojo, W. Kharif, Y. Ding, W. Johnson, J. Shank and A. Davis)

To: Faculty Senate

Via: Dr. Christy Killman, President

Faculty Senators,

At the original request of Dr. Ghorashi, those listed above agreed to serve on an ad hoc committee for tenure & promotion with a two-fold purpose: 1) Look into specific areas he felt held merit for our consideration and 2) Examine and review the T&P guidelines holistically, provide clarity where procedures or requirements might not be clear and provide recommendations for improvement in the T&P Process. This committee held its first meeting in February 2014. By the end of CY 2014, we were additionally charged with 1) making recommendations for procedures and requirements related to tenure and promotion of Instructor rank faculty and 2) policy and promotion procedures for lecturer rank faculty. That process, also reviewed by a Faculty Senate subcommittee, was completed by the end of CY2015. In Spring 2016, the proposed changes moved through University committees, and the policy evolved to one that was acceptable by the Senate and the Academic Council. At that time (Spring 2016) it became apparent that TTU would be leaving TBR and a new Board of Trustees would be appointed by the State Legislature. Thus, in part to take advantage of our release from TBR, but at the same time the additional requirement to revise the policy and procedures to reflect our position under a new Board of Trustees, the T&P approval process was tabled by the administration. The policies and procedures began to be re-evaluated to remove reference to TBR and TBR policies. This was a lengthy process as other new TTU policies had to also be written and approved by the board. The attached document contains 1) Changes previously reviewed by the Senate and Academic Council in Spring 2016, 2) Changes

that reflect TTU now having its own Board of Trustees (not previously reviewed by Senate and Committees), and 3) a few additional changes that were not previously approved by academic council, but were discussed with the Senate and the council in Spring 2016, the primary example being the option of a tenure-track faculty member having the opportunity to come up for tenure, should they desire, in the Fall of their 5th year (tenure can still only be considered one time). Under TBR, this was not allowed unless approved by the University President and TBR Chancellor in advance.

This document has not been circulated among the Deans, however, previous versions were circulated and feedback was received from various individuals from each college. In addition, and as many of you are aware, I met with the Senate at the last meeting in Spring 2015 to answer questions related to most of the proposed circulated changes. Once that feedback was received, a few revisions were made by the Ad Hoc committee as suggested by the Senate by consensus and the proposed changes were presented again in Spring 2016. Several recommendations were rejected or tabled in 2015 and 2016 by the Senate and Academic Council (electronic submission of dossiers, tenure & promotion considerations required to be at the same time and required external peer-review for tenure). We appreciate the opportunity originally given to us by Dr. Ghorashi to serve you and the campus in this manner. We also appreciate the efforts and guidance of Mark Stephens and Sharon Huo this past year who assisted with further revisions that reflect TTU leaving TBR.

Policy No: 205

Policy Name: Faculty Tenure

I. Introduction Purpose

~~The quality of the faculty of any university is maintained primarily through support of a wide variety of professional development. The concept of tenure and the tenure process is an essential component in building and maintaining the highest quality faculty at any university. Faculty quality is built~~ monitored and maintained through the appraisal, by competent faculty and administrative officers, of each candidate for tenure. In addition, Tenure-tenure at Tennessee Technological University provides certain full-time faculty with the assurance of continued employment during the academic year until either retirement or dismissal for adequate cause, financial exigency, or curricular reasons, as ~~further discussed~~ herein.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Provost with recommendations for revision reviewed by the Faculty Senate and approved by the Academic Council, Administrative Council and University Assembly.

III. Scope

The Faculty Tenure Policy governs all aspects of the tenure process and tenure rights and responsibilities for tenured and tenure-track faculty at Tennessee Tech. This policy is only applicable to those full-time faculty members that either hold tenure or are on a tenure-track appointment.

IV. Definitions

~~The following are general definitions of words and terms used in this policy that are not hereinafter specifically defined; however, the words and terms are subject to further qualification and definition in subsequent sections of this policy.~~

- A. Academic Appointment -- a personnel status (as distinct from an assignment of responsibilities) in an academic department/unit pursuant to which professional services in the areas of teaching, research/scholarship/creative activity, and service/outreach are retained by ~~the University~~ Tennessee Tech from a faculty member. Academic appointments shall be made with academic rank, and may be temporary, tenure-track, or with tenure (see Faculty Appointments, Policy 204).
- B. Academic Department/Unit -- an academic organizational unit (e.g., a department or division) or program, including the Library, within the University, generally devoted to the pursuit of a specific discipline, in which a faculty member holds academic rank.

C. Academic Rank -- an element of faculty status limited to individuals who meet the minimum criteria that distinguish between academic ranks as established in ~~the policy on Faculty Promotion (see Faculty Promotion, section IV) in Policy 206 – Faculty Promotion.~~

D. Academic Tenure -- a personnel status in an academic department/unit pursuant to which the academic or fiscal year appointments of full-time faculty who have been awarded tenure are continued at ~~the University Tennessee Tech~~ until the expiration or relinquishment of that status, subject to dismissal for adequate cause, financial exigency, or curricular reasons.

E. Adequate Cause -- a basis upon which a faculty member, either with academic tenure or a tenure-track ~~or temporary~~ appointment, prior to the end of the specified term of the appointment, may be dismissed or terminated. The specific grounds which constitute Adequate Cause are set forth in Section ~~V.V.D.6~~ V.D.6 herein.

~~E.F.~~ Board – the Tennessee Tech Board of Trustees

~~F.G.~~ Financial Exigency -- an imminent financial crisis which threatens the survival of the institution as a whole, and which cannot be alleviated by means less drastic than the termination of an appointment or appointments with continuous tenure, or of a probationary or special appointment before the end of the specified term. ~~(see Financial Exigency).~~

~~G.H.~~ Faculty Member -- a member of the academic profession (including professional librarians) who holds academic rank as instructor, senior instructor, master instructor, assistant professor, associate professor, or professor, and whose responsibilities primarily include teaching, research/scholarship/creative activity, and service/outreach. Those who hold rank as Lecturer, Senior Lecturer or Master Lecturer are those faculty whose responsibilities primarily involve teaching, however, in some cases, these faculty may have minor responsibilities in research/scholarship/creative activities and/or service/outreach. While also defined as faculty, lecturers are not eligible for tenure.

~~H.I.~~ Peers/Departmental/Unit Peers -- in the context of this policy, the terms "peers" and "departmental/unit peers" refer to those regular, full-time tenured members of the departmental/unit faculty whose professional responsibilities to the University lie in the areas of teaching, research/scholarship/creative activity, and service/outreach. The terms do not refer to those whose primary responsibilities are administrative, such as departmental/unit chairpersons, directors of Centers of Excellence, assistant and associate deans, deans, assistant and associate vice presidents, vice presidents, the President, and any others in similar situations. No evaluation and/or recommendation shall be submitted by peers (either within or without the department/unit) who are members of a faculty member's immediate family. For purposes of this policy, "immediate family member" shall include spouse, domestic partner, cohabitant, child, stepchild, grandchild, parent, stepparent, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, great grandparent, brother, sister, half-brother, half-sister, stepsibling, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, or first cousin (that is, a child of an aunt or uncle). Immediate family members will not be included in the plenum of peers when a tenure or promotion vote is taken (see Tenure Procedures and Forms List, section III,I).

Commented [BJ1]: Check to see if this changes.

Commented [BJ2]: Rather than only provide the link to the definition, the T&P Committee recommended including the definition itself, without one having to click on a link.

Commented [BJ3]: Previously reviewed by faculty senate in Spring 2016 as recommended by the T&P Committee.

Commented [BJ4]: Added by TTU Academic Affairs

~~I.J.~~ President -- the President of Tennessee Technological University.

~~I.K.~~ Probationary Employment -- a period of full-time professional employment by a faculty member for whom an appointment letter denotes a tenure-track appointment in which he/she does not have tenure and in which he/she is evaluated by the University for the purpose of determining his/her satisfaction of the criteria for a recommendation for tenure. Probationary employment provides an opportunity for the individual to assess his/her commitment to the University and for the University to determine whether the individual meets its perception of quality and projected need.

~~K. TBR/Board of Regents/Board — the Board of Regents of the State University and Community College System of Tennessee.~~

L. University/this institution/TTU/Tennessee Tech -- Tennessee Technological University.

III.V. Consideration for Tenure

A. Tenure Appointments Overview

The awarding of tenure is recognition of the merit of a faculty member and of the assumption that he/she meets the long-term staffing needs of the academic department/unit and the University. Tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure. The Board ~~of Regents~~ does not award tenure in non-faculty positions. Tenure appointments reside in the academic departments/units or programs, and are assurances of continued employment during the academic year subject to expiration, relinquishment, or termination of tenure as set forth in Section VII. herein. Recommendations for or against tenure should originate from the academic department/unit in which the faculty member is assigned and should include appropriate participation in the recommendation by tenured faculty in the academic department/unit as specified in this policy.

Tenure is awarded only by positive action of the Board, pursuant to the requirements and procedures of this policy. No faculty member shall acquire or be entitled to any interest in a tenure appointment at Tennessee Tech without a recommendation for tenure by his/her peers and by the President and an affirmative award of tenure by the Board ~~of Regents~~. No other person shall have any authority to make any representation concerning tenure to any faculty member. Failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at the University, provided no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

B. Tenure Process

The Tenure process is described in the Tenure Procedures and Forms List. University procedures shall ensure that peer committees have qualified privilege of academic confidentiality against disclosure of individual tenure votes unless there is evidence that casts doubt upon the integrity of the peer committee. This policy shall be interpreted in a

manner consistent with the Tennessee Public Records Act, as recorded in T.C.A. Sections 10-7-101 et seq. The President must make the recommendation for tenure to the ~~Chancellor and the Chancellor to the~~ Board. In the event that the Board awards tenure, the President shall furnish to the faculty member written confirmation of the award.

Annual evaluations conducted by the candidate's academic department/unit chair or program head are an important aspect of the criteria for tenure at this University. Types of evidence relevant to evaluating effectiveness and contributions in teaching, research/scholarship/creative activity, and service/outreach are identified in subsections ~~IV~~VI.B,1-3.

~~Tenure Procedures and Forms, Tennessee Technological University, covers the process required by Section I,B of Board Policy 5:02:03:60 <https://policies.tbr.edu/policies/academic-tenure-universities>.~~

~~Proposed changes in the process for student evaluation of teaching will be submitted to the TTU Student Government Association (SGA) for consideration and reaction. The SGA will review the uses of student evaluation of instruction on a regular basis and will bring its questions, concerns, and suggestions to the Academic Council.~~

Commented [BJ5]: Academic Affairs proposes removing this paragraph, thus changing this policy. This was not previously discussed with the Council and Senate in Spring 2016.

C. Minimum Eligibility Requirements for Consideration for Academic Tenure

Academic tenure may be awarded only to full-time faculty members who: (a) hold academic rank as instructor, ~~master instructor, senior instructor~~, assistant professor, associate professor, or professor and meet the minimum criteria for that rank as specified in ~~TBR Policy 5:02:02:20, Section IV (<https://policies.tbr.edu/policies/faculty-promotion-universities>)~~TTU Policy 206 – Faculty Promotion; (b) have been employed pursuant to tenure-track appointments and have completed a probationary period of service, and/or as agreed upon in writing and signed by the appropriate academic officer; and (c) have been determined by the University to meet the criteria for recommendation for tenure and have been so recommended pursuant to this policy.

Faculty members whose appointment is supported in whole or in part by funds available to the University on a short-term basis, such as grants, contracts, or foundation sponsored projects, shall not be eligible for tenure unless continuing support for such members can be clearly identified in the regular budget of the University upon the recommendation of tenure to the Board.

No faculty member shall be eligible for tenure unless the employee's contract specifies his/her tenure-track status; provided that where a faculty member with tenure is appointed to an administrative position, he/she will retain tenure in a former faculty position only; and provided further that a faculty member otherwise eligible for tenure who also holds a non-faculty position may be awarded tenure in the faculty position only, subject to the requirements of this policy.

~~Tennessee Technological University may establish additional reasonable requirements for the eligibility of faculty for consideration for tenure. These should include, but are not~~

limited to, ~~the completion of the doctorate or other specified terminal degree in the faculty member's discipline, a minimum rank of instructor or assistant professor, and prescribed achievements in teaching, research/scholarship/creative activity, and service/outreach. The Board of Regents, using national standards, will determine what constitutes the terminal degree for each discipline (see Faculty Promotion, section VI). The University may request exemptions to this standard based upon the institution's mission, or based upon an extraordinary candidate. In the latter instance, the exception shall be requested when the faculty member is employed and/or when the length of the probationary period is determined.~~

Commented [BJ6]: The text that remains in this section without strike through, can probably be removed. It appears to be a statement from TBR Tenure policy that informs the Universities that they can go beyond the basic requirements shown in their policy. Academic Affairs recommends removing this entire paragraph since it devolves from TBR policy and contains language inconsistent with SACS requirements.

D. Probationary Employment

Faculty may be employed on annual tenure-track appointments for a period that may not exceed six years. The faculty member may apply for tenure at the beginning of the ~~sixth fifth, but no later than the beginning of the sixth year, year after completing a probationary period of not less than five years.~~ See VIII, D-E for exceptions. A faculty member may apply for tenure only once. ~~If the ultimate result of the tenure application is negative, there is no second chance.~~

Commented [BJ7]: This portion of the policy must be removed (deleted) as this is no longer allowed by SACS.

Commented [BJ8]: This change was previously presented in Spring 2016 as a recommendation by the TTU T&P Committee and has been further edited for clarity.

Commented [BJ9]: Moved from D.1 below and deleted in D.1. since redundant.

A faculty member may receive a reduction of the probationary period in the following instances:

1. Reduction of the minimum probationary period may be made for a faculty member who shows exceptional accomplishment during the probationary period. Such requests for probationary period reductions are made upon recommendation of the departmental/unit peers to the department/unit chair, thence to the dean, the provost, and the President ~~and with the approval of the Chancellor.~~ The application for tenure does not occur until after the ~~Chancellor's President's~~ approval. ~~A faculty member may apply for tenure only once. If the ultimate result of the tenure application is negative, there is no second chance.~~
2. Prior service credit may be applied toward the completion of the tenure probationary period, upon recommendation of the departmental/unit peers to the department/unit chair, thence to the dean, the provost, and the President of the University, thereby resulting in a reduction of the tenure probationary period. Credit toward tenure for prior service must be agreed upon by those mentioned above at the time of employment and must be included in the appointment letter. Faculty members who have received prior service credit may not subsequently request that the credit not be applied to their probationary period. For example, if a faculty member receives two years of prior service credit, he/she must apply for tenure at the beginning of the fourth year. A faculty member may apply for tenure only once. If the ultimate result of the tenure application is negative, there will be no second chance.

Commented [BJ10]: Redundant. Stated above in Section D.

E. Calculating the Probationary Period

1. ~~Credit for Prior Service The probationary period may include credit for prior service when agreed to by the departmental/unit peers, the chair, the dean, the provost, and the President and subject to the maximum permissible credit for prior~~

service as noted below:

Credit toward completion of the probationary period may, upon the recommendation of the peers to the chair and thence to the dean, the provost, and the President of the University, be given for a maximum of ~~three~~ two years of previous full-time service at other colleges, universities, or institutes, provided that the prior service is relevant to TTU's own needs and criteria. Any credit for prior service that is recognized and agreed to must be confirmed in writing in the letter of appointment. Years of credit for prior service will be accepted in lieu of the final, not the initial, year(s) of the probationary period (~~e.g., one year of credit for prior service will be accepted in lieu of the fifth year of the probationary period, etc.~~). See the [Tenure-Track Schedule](#) for important dates to be observed during the tenure-track years.

Credit toward completion of the probationary period may, upon the recommendation of the peers to the chair and thence to the dean, the provost, and the President of the University, be given for a maximum of ~~three~~ two years of previous full-time service in a temporary faculty appointment at the same institution (see [Policy 204 - Faculty Appointments](#)) or in an earlier tenure-track appointment at the same institution that has been followed by a break in service. Any credit for prior service in a temporary full-time faculty appointment at the same institution or in an earlier tenure-track appointment at the same institution that has been followed by a break in service must be recognized and confirmed in writing in the appointment letter to a tenure-track position.

Only full-time continuous service at a university will be included in determining completion of the probationary period, except where a break in service was pursuant to an approved leave of absence.

2. Approved Leave of Absence

A period of approved leave of absence shall be excluded from the requisite period for completion of the probationary period unless the President of the University specified in writing before the leave of absence that it shall be included in the probationary period. Leaves of absence may not be granted retroactively. A faculty member may apply for a maximum of two extensions in one-year increments so long as the total probationary period does not exceed six years. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension.

3. Stopping the Tenure Clock

A faculty member in a tenure-track appointment may request to "stop the tenure clock" during his/her probationary period when circumstances exist that interrupt the faculty member's normal progress toward building a case for tenure. Discretion for stopping the tenure clock rests on the University and requires supervisory approval ([described in detail in the Section E.4. below](#)). In such cases, the faculty member may request to "stop the tenure clock" for one year if he/she

Commented [BJ11]: This duplicates what was just stated in Section D.2. and does not need to be repeated. Removed for clarity.

Commented [BJ12]: Due to the ability to come up for tenure at the beginning of the fourth year rather than the fifth year (current policy), the T&P Committee recommends that a maximum of two years credit be awarded at time of hire.

Commented [BJ13]: Oftentimes, examples can cause confusion. I believe this is such a case. An example in D.2 was already provided.

Commented [BJ14]: As stated in a previous comment above, due to the ability to come up for tenure at the beginning of the fourth year rather than the fifth year (current policy), the T&P Committee recommends that a maximum of two years credit be awarded at time of hire.

demonstrates circumstances that reasonably warrant such interruption. Reasons for approving a request to "stop the tenure clock" will typically be related to a personal or family situation requiring attention and commitment that consumes the time and energy normally addressed to faculty duties and professional development. Examples ~~may include, but are not limited to~~ of events that may, but will not necessarily warrant stopping the clock include, but are not limited to, childbirth or adoption, care of dependents, medical conditions or obligations, physical disasters or disruptions, or similar circumstances that require a fundamental alteration of one's professional life. The intent of this policy is to serve the best interests of Tennessee Tech while providing neither preference to nor adverse effect on a faculty member's process of developing a case for tenure. Once approved, the "stop the tenure clock" year is not counted in the probationary period accrual.

4. Procedure Application for Leave of Absence and/or Tenure Clock Stoppage

A faculty member seeking a leave of absence and/or a stoppage of the tenure clock must submit his/her request, in writing and addressing the considerations described above, to the department/unit chair for consideration and recommendation. The chair's recommendation is forwarded to the dean of the faculty member's college for consideration and recommendation; thence to the provost for consideration and recommendation; and finally, to the President for approval or denial. Within one month of receiving the request, the President will notify the faculty member, in writing, of the decision to approve or deny such exceptions. Requests for modification of the probationary period that are based on a faculty member's health or care for an immediate family member should also be submitted to the University's legal counsel ~~or the TBR's Office of the General Counsel~~ for review.

5. Administrative Appointments Before Tenure

A faculty member that is appointed to an administrative position prior to a tenure award remains eligible for tenure under two considerations: (1) the faculty member must qualify for tenure under academic department/unit, college, and University guidelines; and (2) the faculty member must maintain a significant involvement in academic pursuits including teaching, research/scholarship/creative activity, and service/outreach. The time (or prorated portion of time) spent in the administrative position may be credited toward completion of the probationary period.

6. Departmental Transfer Before Tenure

Where a faculty member is serving a probationary period in an academic department/unit and is subsequently transferred to another academic department/unit, the faculty member may elect, with the approval of the President, to begin a new probationary period on the date that the transfer occurs. If he/she does not so elect and confirm, in writing, to the President, time spent in the first appointment shall count toward establishing the minimum and maximum probationary period (see HY,E above).

~~IV~~VI. Criteria To Be Considered In Tenure Recommendations

A. Overview

The relative importance of the criteria for the recommendation for tenure depends upon the ~~nature~~, mission, and goals of ~~the University/Tennessee Tech, as well as and of the mission and goals of the specific~~ academic department/unit in which a faculty member holds academic rank. The recommendation for tenure, subject to the requirements of this policy, shall devolve from the professional judgment of tenured peers in the academic department/unit in which the faculty member holds academic rank; the tenured peers representing that segment of the wider community of scholars best qualified to evaluate the faculty member in the performance of his/her professional services. Recommendation for tenure for librarians shall be based upon the performance of professional library responsibilities. The faculty member is expected to maintain minimum professional levels of performance with the weightings agreed upon in the [Agreement on Responsibilities](#). Greater specificity is provided in [Tenure Procedures and Forms List](#), Tennessee Technological University, which constitutes the ~~process section of this procedures used to follow the tenure~~ policy. At this point, it is sufficient to state emphatically (1) that the faculty member is assumed to have been trained professionally in an academic discipline, (2) that the faculty member is aware of the standards of excellence in his/her discipline, (3) that the faculty member's principal responsibility is to practice that discipline in pursuit of excellence to the limits of individual capacity and institutional duties, and (4) that the faculty member's success will be determined by the professional judgment of his/her tenured peers. This determination shall, consistent with this policy, establish the basis for the faculty member's recommendation for tenure.

B. Criteria

Criteria for tenure relate to the University's three traditional and often inter-related missions: teaching, research/scholarship/creative activities, and service/outreach.

1. Teaching

Effective teaching is an essential qualification for tenure, and tenure should not be granted in the absence of clear evidence of a candidate's teaching ability and potential for continued development. Excellence in teaching is a strong recommendation for both tenure and promotion though it cannot be considered in isolation from research/scholarship/creative activities and service/outreach. Although it is difficult to establish evidence of teaching excellence, each academic department/unit must develop a procedure to ensure that information relative to a candidate's teaching is available at the time he/she is considered for tenure.

The teaching dossier should include, but is not limited to, evidence of teaching excellence as follows: ability to organize and present subject matter in a logical and meaningful way; ability to motivate and stimulate creativity, intellectual curiosity, and interest in writing and inquiry in undergraduates and/or graduate students; and evidence of peer evaluation. Documentation of teaching should routinely include: statement of teaching philosophy; course materials; student evaluations for every course evaluated during the probationary period; and

evidence of supervision of student projects and other forms of student mentorship. A candidate for tenure may choose to include other types of evidence that support his/her application for tenure such as additional student input; student products; teaching recognition; teaching scholarship; peer input; evidence of professional development in teaching; evidence of disciplinary or interdisciplinary program or curricular development; alumni surveys and student exit interviews; and other evidence of excellence in teaching or mentoring, or both.

2. Research/Scholarship/Creative Activities

A candidate for tenure must present evidence of his/her research/scholarship/creative activities when he/she applies for tenure. The tenure dossier must include evidence of peer review of the candidate's record of research/scholarship/creative activities by qualified peers. Research/scholarship/creative activity includes those professional activities designed to discover, create, or disseminate greater knowledge, appreciation, or understanding of an academic discipline, including, but not limited to:

1. Pure research: seeking new knowledge, investigating realms not covered by current understanding or challenging current understanding.
2. Applied research: the application of known methods or theories to specific circumstances.
3. Pedagogical research: the development of pedagogical techniques and the application in the classroom or laboratory, that furthers the dissemination of knowledge.
4. Artistic creativity and performance: the creation and exhibition of works of art or crafts, or the composition and/or performance of plays, music, etc.
5. Faculty development: formal and informal activities primarily directed to maintain and enhance faculty research, scholarship, or creative capabilities or performance.

The tenure dossier must include evidence of peer review of the candidate's record of research/scholarship by qualified peers. Such evidence should cite books, journal articles, monographs, creative activities, performances or exhibitions that have undergone appropriate peer review. Research publications in refereed journals or media of similar quality are reliable indicators of research/scholarship ability. For creative activity, ~~W~~written reviews and evaluations by qualified peers, either in person or aided by other forms of reports, or both, are appropriate for performances, compositions and other artistic creations. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are more significant than those not subjected to such rigorous examination. Overall, it should be emphasized that quality is more important than quantity. In reviewing these materials, the tenure committee shall place a higher importance of the quality of the works rather than the quantity of such works.

The tenure dossier must include evidence of peer review of the candidate's record

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Commented [JOB15]: This indented section was added for clarity. It is the same content as that listed under promotion within section VII subsection B. This is a recommendation of the TTU T&P Committee.

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~~of research/scholarship by qualified peers.~~ The research/scholarship of teaching (pedagogical research) is a valid measure of research capability. It goes beyond doing a good job in the classroom. Faculty should organize, record and document their efforts so colleagues may share their contributions to the art of teaching. Appropriate textbooks or educational articles in one's discipline and innovative contributions to teaching, if published or presented in a peer-reviewed forum, constitute scholarship of teaching.

Commented [JOB19]: Moved to top of above paragraph.

Commented [JOB20]: Inserted for clarity. This appears elsewhere in the 2005 revisions, such as Promotion Policy Section II, subsection B.

3. Service/Outreach

Service/outreach encompasses a faculty member's activities in one or more of the following three areas:

- a. The outreach or public service function is the University's outreach to the community and society, with major emphasis on the application of knowledge for the solution of societal problems. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the University. A vital component of the University's mission, public service must be performed at the same high levels of quality that characterize the teaching and research/scholarship/creative activities missions.
- b. University service refers to work other than teaching and research/scholarship/ creative activities done at the department/unit, college, or University level. A certain amount of such service is expected of every faculty member. University service includes, but is not limited to, serving on departmental/unit, college and University committees. Some faculty members may accept more extensive citizenship functions, such as a leadership role in the Faculty Senate, membership on a specially appointed task force, service as advisor to a University-wide student organization, and membership on a University search committee.
- c. Professional service refers to the work done for organizations related to one's discipline or to the teaching profession generally. Service to the profession includes association leadership, journal editorships, article and grant proposal review, guest lecturing on other campuses, and other appropriate activities. While it is difficult to define the exact nature of significant professional service, more is required than organizational membership and attendance. Examples of significant service would be that done by an officer of a professional organization or a member of the editorial staff of a journal.

C. Assessment of Satisfactory Progress Toward Tenure

Commented [BJ21]: Section C, here, was created from the content marked moved in Section VII below for clarity.

As part of the annual evaluation of faculty on tenure-track appointments, the departmental chairperson, in consultation with the tenured members of the departmental faculty, shall assess whether or not the faculty member is making satisfactory progress toward achieving tenure. Deadlines for this assessment vary according to the faculty

member's years of service on tenure-track appointment and appear on the Tenure-Track Schedule in the TTU Faculty Handbook.

To complete this assessment, the departmental chairperson shall notify each tenure-track faculty member of the deadline to compile and submit a dossier of information similar to that required by Form T3-05 (Tenure Procedures and Forms List), ~~Tenure Procedures and Forms List 2005~~. No letters of recommendation shall be included in the dossier. Once submitted, the dossier is available to departmental peers for review. By the identified Deadline for Tenure-Track Review, the departmental chairperson shall call a meeting of the departmental peers to discuss the tenure-track faculty member's qualifications. During this meeting, each peer will complete Form T15-05 (Tenure Procedures and Forms List), thereby conveying to the departmental chairperson her/his assessment of the faculty member's progress toward tenure. The chairperson of the department shall provide written communication of the results of his assessment to the faculty member. In the event the faculty member's performance is such as to justify non-renewal during the probationary period, the decision not to renew the appointment shall be made by the departmental chairperson in consultation with the tenured departmental peers and with the approval of the appropriate administrative officers in accordance with Section VII.A. below.

~~VII~~. Changes In Tenure/Tenure-Track Status

~~A. Assessment of Satisfactory Progress Toward Tenure~~

~~As part of the annual evaluation of faculty on tenure-track appointments, the departmental chairperson, in consultation with the tenured members of the departmental faculty, shall assess whether or not the faculty member is making satisfactory progress toward achieving tenure. Deadlines for this assessment vary according to the faculty member's years of service on tenure-track appointment and appear on the Tenure-Track Schedule in the TTU Faculty Handbook.~~

~~To complete this assessment, the departmental chairperson shall notify each tenure-track faculty member of the deadline to compile and submit a dossier of information similar to that required by Form T3-05 (Tenure Procedures and Forms), Tenure Procedures and Forms List 2005. No letters of recommendation shall be included in the dossier. Once submitted, the dossier is available to departmental peers for review. By the identified Deadline for Tenure-Track Review, the departmental chairperson shall call a meeting of the departmental peers to discuss the tenure-track faculty member's qualifications. During this meeting, each peer will complete Form T15-05 (Tenure Procedures and Forms), thereby conveying to the departmental chairperson her/his assessment of the faculty member's progress toward tenure. The chairperson of the department shall provide written communication of the results of his assessment to the faculty member. In the event the faculty member's performance is such as to justify non-renewal during the probationary period, the decision not to renew the appointment shall be made by the departmental chairperson in consultation with the tenured departmental peers and with the approval of the appropriate administrative officers.~~

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B-A. Non-Renewal of Probationary Tenure-Track

1. When tenure-track appointments of faculty are not to be renewed for further service, the faculty member shall receive notice of his/her non-retention for the ensuing academic year as follows:
 - a. No later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an academic year, at least three months in advance of its termination;
 - b. No later than December 15 of the second year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an academic year, at least six months in advance of its termination;
 - c. No later than the close of the academic year preceding the third or subsequent year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an academic year, at least twelve months in advance of its termination

The above stated dates are the latest dates of notice of non-renewal of faculty on tenure-track appointments. Notice of non-renewal shall be effective upon personal delivery of the notice to the faculty member, or upon the date the notice is mailed, by registered letter, to the faculty member at his/her current home address of record at the University.

Applicable dates for notice of non-renewal are based upon actual years of service at Tennessee Tech and are in no way affected by any credit for prior service. When a faculty member on a tenure-track appointment completes his/her probationary period, the President will recommend the faculty member for tenure or will notify the faculty member of non-renewal of the appointment during the spring term following application for such status. Notice of non-renewal should be given no later than the final day of the academic year. The faculty member's right in an instance where timely notice is not given is described in Section HHV. A. herein. When a tenure-track faculty member's probationary period has ended and the faculty member has not been awarded tenure, the faculty member may remain at the University one more academic year, but on a temporary appointment, not a tenure-track appointment.

2. Faculty members on tenure-track appointments shall not be terminated during the term of the annual appointment as stated in the employment contract except for reasons which would constitute adequate cause for the termination of tenured faculty.

3. The non-renewal or non-appointment of any faculty member on a tenure-track appointment does not necessarily carry an implication that his/her work or conduct has been unsatisfactory.
4. A tenure-track faculty member who is dissatisfied with the reasons given for the non-renewal of his/her appointment may appeal that decision through the Faculty Affairs Committee and/or the TTU Grievance and Complaint Policy or through a committee specifically empowered by the President to hear such appeals.
5. Unless there is a violation of state or federal law ~~under the limitations described in the TBR Policy on Appeals (<https://policies.tbr.edu/policies/appeals-and-appearances-board>), decisions that are not subject to appeal to the Chancellor include~~ non-renewal of a tenure-track appointment during the first five years of the probationary period and denial of tenure accompanied by notice of termination in the sixth year of the probationary period ~~are not subject to appeal to the Board.~~

C.B. Transfer of Tenure

Tenured faculty may have their academic appointments transferred within the institution to accommodate the changing needs of the University. Before implementing any such transfer, the tenured faculty member and the academic department/unit in which his/her new academic appointment is to be located shall be consulted and informed of the reasons for the proposed transfer. The peers in the receiving academic department/unit shall vote to advise the President of the acceptability of the tenured faculty member under consideration for transfer. When a tenured faculty member is transferred to another academic department/unit other than that with which he/she was originally associated, the transfer will be made with tenure. In no instance may the faculty member be compelled to relinquish tenure as a condition for effecting the transfer.

Tenure-track faculty on probationary appointments may have their academic appointments transferred within the institution to accommodate the changing needs of the University. Before implementing any such transfer, the tenure-track faculty member and the academic department/unit in which his/her new academic appointment is to be located shall be consulted and informed of the reasons for the proposed transfer. The tenure-track faculty member may request that a new probationary period begin at the time of the transfer. The tenured faculty members in the receiving academic department/unit shall vote to advise the President of the acceptability of the tenure-track faculty member being considered for transfer and whether to credit the tenure-track faculty member with the years of prior service completed in the previous academic department/unit.

For the transfer of either a tenured or a tenure-track faculty member from one academic department/unit to another, both the faculty member and the receiving academic department/unit shall be consulted concerning the transfer and, in the case of a tenure-track faculty member, concerning the probationary period required in the receiving academic department/unit. In either type of transfer, no tenure committee shall be formed and no dossier compiled. However, in the case of a tenure-track faculty member, the

information compiled in the faculty member's former academic department/unit, including tenure-track reviews, shall be transferred to the receiving academic department/unit.

In cases involving transfers resulting from reorganizations of entire programs, academic departments/units, colleges or schools, the President shall carry out procedures similar to those described in Section ~~V~~VII. G. Termination of Tenure for Curricular Reasons. In such terminations resulting from reorganization, the same principles apply as stated above, namely, all tenured faculty retain their tenured status, and both the faculty members and the receiving academic departments/units shall be consulted concerning the transfer.

D.C. Expiration of Tenure

Tenure status shall expire upon retirement of the faculty member. Tenure shall also expire upon the event of permanent physical or mental inability of a faculty member, as established by an appropriate medical authority, to continue to perform his/her assigned duties.

E.D. Relinquishment of Tenure

A faculty member shall relinquish or waive his/her right to tenure upon resignation from the University or upon failure to report for service at the designated date of the beginning of any academic term, which shall be deemed to be a resignation unless, in the opinion of the President, the faculty member has shown good cause for his/her failure to report. Where a tenured faculty member is transferred or reclassified to another academic department/unit by the University, the transfer or reassignment shall be with tenure. Tenure is not relinquished during approved leaves of absence or administrative assignments at this University.

F.E. Termination of Tenure for Reasons of Financial Exigency

A tenured faculty member may be terminated as a result of financial exigency at this University subject to Board declaration that such financial conditions exist. All personnel decisions that result from a declaration of financial exigency at this University will comply with ~~the Board-TTU Policy 648 - on~~ Financial Exigency. <https://policies.tbr.edu/policies/financial-exigency> and the ~~Financial Exigency procedures of Tennessee Technological University.~~

G.F. Termination of Tenure for Curricular Reasons

The appointment of a tenured faculty member may be terminated (1) because an academic program is deleted from the curriculum or (2) because of substantial and continued reduction of student enrollment in a field. Each of these reasons for termination of tenure for curricular reasons must denote shifts in staffing needs that warrant greater reductions than those which are accommodated by transferring appointments from one academic department/unit to another to handle changing enrollment patterns. Before declaring that curricular reasons exist that warrant the termination of appointments of tenured faculty, determining where such terminations might be required, or initiating the procedures described below, the President shall ensure meaningful participation by the

Faculty Senate in making these decisions and shall inform that body of all considerations that warrant the termination of tenured appointments for curricular reasons. The President shall work with the Faculty Senate in identifying specific curricular reasons, considering alternatives to termination, evaluating the long-term effect of shifting enrollment patterns of the University's curricula, mission and strategic planning goals, and determining where such reductions in faculty might best be made so as to least seriously compromise the educational programs of the University. These decisions shall take into account the extraordinary nature of such conditions, as outlined above, and shall be based upon careful assessment of the impact of any proposed actions on the staffing requirements of the academic department/unit, as compared to overall patterns of faculty responsibilities in comparable academic departments/units within the University and in other institutions similar enough to warrant comparison.

The Faculty Senate shall have the opportunity of responding in writing to the President on all matters relating to any proposed termination of tenured appointments before the Procedures for Termination of Tenure for Curricular Reasons described below are initiated.

H. Procedures for Termination of Tenure for Curricular Reasons

1. Upon determination by the President, after consultation with the Faculty Senate, that termination of the appointment of one or more tenured faculty members is warranted for curricular reasons and upon identification by the President, after consultation with the Faculty Senate, of the department(s)/unit(s) within which ~~where such terminations might best be made~~ should be made, the order of faculty reductions within an academic department/unit shall take place ~~according to~~ in the following order, unless the President demonstrates (preferably by means of past annual performance evaluations) that an exception should be made to reduce qualitative compromise of an educational program:
 - a) Before a tenured faculty member is terminated, part-time faculty should not be renewed.
 - b) Before a tenured faculty member is terminated, temporary faculty or tenure-track faculty in the probationary period should not be renewed.
 - c) Among tenured faculty, those with lower rank should be terminated before those with higher rank.
 - d) Among tenured faculty with comparable rank, those with lower academic degrees should be terminated before those with appropriate higher academic degrees.
 - e) Among tenured faculty with comparable rank and comparable degrees, those with less seniority in rank should be terminated before those with greater seniority.

2. ~~After~~ Upon determining that termination of one or more tenured faculty members is required for one or more of the reasons cited above identifying the specific faculty members to be terminated pursuant to the above parameters, the President shall furnish each faculty member to be terminated a written statement ~~of~~ detailing the reasons for the termination. Those reasons shall address fully the curricular circumstances that warrant the termination and shall indicate the manner and the information upon which the decision was reached of which faculty members were to be terminated. The President's written statement shall also indicate that the faculty member has the opportunity to respond in writing stating any objections to the decision.
3. If the faculty member to be terminated indicates objections to the President's written statement(s) and requests a review, the Faculty Affairs Committee shall conduct that review. That committee shall conduct a hearing on each review requested, ~~considering, inter alia,~~ At such hearing, the Committee shall consider evidence, including but not limited to the following: the identification of the academic department/ unit in which the reductions are required, the order of reductions within the academic department/unit, exceptions to the normal order of reductions, and the possibility of relocation within the University. At the conclusion of its review, The ~~the~~ committee shall report its findings and recommendation to the President, who shall consider, but not be bound by, such findings and recommendations. ~~;~~ In a reasonable amount of time, the President shall inform in writing the faculty member proposed for termination either that the decision for termination stands or that it has been altered.
4. The President's decision to terminate a tenured faculty member for curricular reasons is not subject to appeal, ~~to the Chancellor and the Board as provided in the policy on appeals to the Board (TBR Policy 1:02:11:00, <https://policies.tbr.edu/policies/appeals-and-appearances-board>).~~
5. When a tenured faculty member is terminated for curricular reasons, the position will not be filled by a new appointee with the same areas of specialization as the terminated faculty member within a period of three years unless the terminated faculty member has been offered, in writing, reappointment to the position at his/her previous rank and salary (with the addition of an appropriate increase which, in the opinion of the President, would constitute the raise(s) that would have been awarded during the period that he/she was not employed), and with tenure.
6. Upon determining that termination of one or more tenured faculty members is warranted for curricular reasons, the President shall base his/her decision about which faculty member(s) should be terminated upon his/her assessment as to what action would least seriously compromise the educational programs of the academic department/unit. Termination for curricular reasons presumes a staffing pattern in an academic department/unit which cannot be warranted either by comparison with general load practices within the University or by comparison

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with faculty loads in comparable academic departments/units at similar universities. In that light, the President shall also, at his/her discretion, base his/her decision on a careful assessment of the impact of the curricular reason on staffing requirements in the academic department/unit as compared to overall patterns in the University and to comparable academic departments/units which, in his/her judgment, are in universities similar enough to warrant assessment.

7. Definitions: "Program is deleted from the curriculum" means that the Board takes formal action to terminate a degree major, concentration, or other curricular component, and that such termination eliminates or reduces the need for faculty qualified in that discipline or area of concentration. "Substantive and continued reduction of student enrollment in a field" means that over a period of at least three years, student enrollment in a field has decreased at a rate in considerable excess of that of the University as a whole and that such reduction has resulted in faculty-student ratios that, in the opinion of the President, cannot be warranted either by comparison with equivalent faculty load practices within the University or by comparison with faculty loads in comparable academic departments/units at similar universities which the President deems appropriate for comparison.
8. When a tenured faculty member is to be terminated for curricular reasons, the President will make every possible effort to relocate the tenured faculty member in another vacant position for which he/she is qualified. In instances where, in the opinion of the President, relocation within the University is a viable alternative, the University has an obligation to make significant effort to relocate the faculty member, including the bearing of reasonable retraining costs. The final decision on relocation is within the discretion of the President.
9. Since the primary responsibility for the curriculum is vested in the faculty, and to prevent the inadvertent creation of situations in which curricular reasons for the termination of tenured faculty members might arise, no decision shall be made to create, combine, dissolve, or otherwise reorganize academic departments/units, colleges or schools of the University without the prior participation of the Academic or Administrative Council, whichever is appropriate, and of the faculty members involved.

F.G. Termination for Adequate Cause

A faculty member with tenure, or a faculty member on a tenure-track appointment or temporary appointment, may be terminated for adequate cause, which includes, but is not limited to, the following:

1. Incompetence or dishonesty in teaching or research.
2. Willful failure to perform the duties and responsibilities for which the faculty member was employed or refusal or continued failure to comply with the policies of the Board, ~~the University Tennessee Tech~~, or ~~his/her the~~ academic department/unit, or ~~to his/her willful failure to~~ carry out specific assignments, when such policies or assignments are reasonable and non-discriminatory.

3. Conviction of a felony or a crime involving moral turpitude.
4. Improper use of narcotics or intoxicants, which substantially impairs the faculty member's fulfillment of his/her departmental/unit and University duties and responsibilities.
5. Capricious disregard of accepted standards of professional conduct.
6. Falsification of information on an employment application or other information concerning qualifications for a position.
7. Failure to maintain the level of professional excellence and ability demonstrated by other members of the faculty in the academic department/unit in which he/she holds academic appointment.

J.H. ~~Procedures~~ Process for Termination for Adequate Cause

Termination of a faculty member with tenure, or a faculty member on a tenure-track appointment ~~or temporary appointment~~, shall be subject to the following: ~~procedures~~:

1. No termination shall be effective until steps 4 through 9 below are completed.
2. Suspensions pending termination shall be governed by the following: ~~procedure~~:
 - a. A faculty member may not be suspended pending completion of steps 4 through 9 unless it is determined by the University that the faculty member's presence poses a danger to persons or property, or a threat of destruction to the academic or operational processes of the University. Reassignment of responsibilities is not considered suspension; however, the faculty member must be reassigned responsibilities for which he/she is qualified.
 - b. In any case of suspension, the faculty member shall be given an opportunity at the time of decision or immediately thereafter to contest the suspension; and, if there are disputed issues of fact or cause and effect, the faculty member shall be provided the opportunity for a hearing on the suspension as soon as possible at which time the faculty member may cross-examine his/her accuser, present witnesses on his/her behalf, and be represented by legal counsel. Thereafter, whether the suspension is upheld or revoked, the matter shall proceed pursuant to these procedures
3. Except for such simple announcements as may be required concerning the time of proceedings and similar matters, public statements and publicity about these proceedings by either the faculty member or administrative officers will be avoided as far as possible until the proceedings have been completed, including consideration by the Board.
4. Upon a recommendation by the chief academic officer of the University to the President or upon a decision by the President that these procedures should be

Commented [BJ25]: This is a substantial change recommended by Academic Affairs not previously presented in Spring 2016. Temporary appointees have no guarantee (or in most cases, expectation) of continued employment beyond their current contract.

undertaken in consideration of the termination of a faculty member, the proposed termination shall be preceded by (a) discussion between the faculty member and appropriate administrative officers looking toward a mutual settlement and (b) informal inquiry by the Faculty Affairs Committee which may, failing to effect an adjustment, determine whether in its opinion termination proceedings should be undertaken, without its opinion being binding upon the President.

5. If no mutually acceptable resolution is reached through step 4, the following steps shall be taken:
 - a. The faculty member shall be provided with a written statement of the specific charges alleged by the University that constitute grounds for termination and a notice of hearing specifying the time, date and place of the hearing. The statement and notice must be provided at least twenty days before the hearing. The faculty member shall respond to the charges in writing at least five days before the hearing. The faculty member may waive the hearing by execution of a written waiver. If the faculty member waives the hearing, but denies the charges against him/her or asserts that the charges do not support a finding of adequate cause, the hearing committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.
 - b. A hearing committee consisting of five tenured faculty or tenured faculty and administrators shall be appointed to hear the case and to determine if adequate cause for termination exists according to the procedure herein described. The President shall appoint two members of this committee and the President of the Faculty Senate shall appoint three members. The committee may not include any member of the Faculty Affairs Committee. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Members of the committee shall not discuss the case outside committee deliberations and shall report any ex-parte communication pertaining to the hearing to the President who shall notify all parties of the communication.
6. The hearing committee shall elect a chairperson who shall direct the proceedings and rule on procedural matters, including the granting of reasonable extensions of time at the request of any party and upon the showing of good cause for the extension.
7. The chairperson of the hearing committee may at his/her discretion require a joint pre-hearing conference with the parties that may be held in person or by a conference telephone call. The purpose of the pre-hearing conference should include, but is not limited to, one or more of the following:
 - a. To notify ~~of the~~ procedure for conduct of the hearing.
 - b. To exchange witness lists, documentary evidence and affidavits.

- c. To define and clarify issues.
 - d. To effect stipulations of fact. A written memorandum of the pre-hearing conference should be prepared and provided to each party.
8. A hearing shall be conducted by the hearing committee to determine whether adequate cause for termination of the faculty member exists. The hearing shall be conducted according to the procedures below:
- a. During the hearing, the faculty member will be permitted to have an academic advisor present and may be represented by legal counsel of his/her choice.
 - b. A verbatim record of the hearing will be taken and a typewritten copy will be made available to the faculty member, upon request, at the faculty member's expense.
 - c. The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
 - d. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the committee in using its best efforts to secure witnesses and make available documentary and other evidence that is under its control.
 - e. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements and, if possible, provide for interrogatories. An affidavit may be submitted in lieu of the personal appearance of a witness if the party offering the affidavit has provided a copy to the opposing party at least ten days prior to the hearing and the opposing party has not objected to the admission of the affidavit in writing within seven days after delivery of the affidavit or if the committee chairperson determines that the admission of the affidavit is necessary to ensure a just and fair decision.
 - f. In a hearing on charges of incompetence, the testimony shall include that of qualified faculty members from the University and other institutions of higher education.
 - g. The hearing committee will be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the

issues involved. Every possible effort will be made to obtain the most reliable evidence available.

- h. The findings of fact and the report will be based solely on the hearing record.
- i. The President and the faculty member will be provided a copy of the written report. The committee's written report shall specify findings of fact and shall state whether the committee has determined that adequate cause for termination exists and, if so, the specific grounds for termination found. In addition, the committee may recommend action less than termination. The report shall also specify any applicable policy the committee considered.

- 9. After consideration of the committee's report and the record, the President may in his/her discretion consult with the faculty member before reaching a final decision regarding termination. Following his/her review, the President shall notify the faculty member of his/her decision, which, if contrary to the committee's recommendation, shall be accompanied by a statement of the reasons. ~~If the faculty member is terminated or suspended as a result of the President's decision, the faculty member may appeal the President's action to the Chancellor pursuant to TBR Policy 1:02:11:00 (<https://policies.tbr.edu/policies/appeals-and-appearances-board>). Review of the appeal shall be based upon the record of the hearing. If upon review of the record, the Chancellor notes objections regarding the termination and/or its proceedings, the matter will be returned to the President for reconsideration, taking into account the stated objections, and at the discretion of the President, the case may be returned to the hearing committee for further proceedings.~~

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NOTE: This policy became effective on July 1, 1976, as to all faculty then and thereafter employed in the Tennessee Board of Regents System. The minimum qualifications and requirements for eligibility for an award of tenure applied to all faculty who had not previously been expressly awarded tenure by the Board, and the previous probationary period for such faculty was extended to a maximum of seven years. Faculty who had previously been awarded tenure retained their tenure status under this policy, subject to its terms and conditions. The definition of tenure became effective January 1, 1984. That definition applies to faculty tenured subsequent to the effective date. For faculty members tenured previous to January 1, 1984, the applicable definition of tenure shall be: "a status pursuant to which the academic year appointments of full-time faculty who have been awarded tenure are continued at a university until the expiration or relinquishment of that status, subject to termination for adequate cause, for financial exigency, or curricular for curricular reasons" (see policy adopted June 25, 1976).

This policy is a result of a comprehensive revision of former TBR Policy 5:02:03:30, Academic Freedom, Responsibility, and Tenure (<https://policies.tbr.edu/policies/academic-freedom-and-responsibility>). The former policy included provisions related to academic freedom, responsibility, and tenure in both universities and community colleges. The revision, approved

by the Tennessee Board of Regents on April 2, 2004, created a separate policy on academic freedom and responsibility pertinent to both universities and community colleges, established separate policies relative to tenure for universities and community colleges, and instituted separate policies on faculty appointments for universities and community colleges. The revised policy will be applicable to all tenure action taken on or subsequent to July 1, 2008, for faculty whose employment began before July 1, 2004.

Tenure Procedures and Forms List

I. Reference Documents

[Policy on Academic Tenure, Board of Regents \(5:02:03:60\)](#)

[TTU Guidelines for Academic Tenure](#) [TTU Policy 205: Academic Tenure](#)

[TTU Faculty Appointments](#) [TTU Policy 204: Faculty Appointments](#)

[TTU Tenure-Track Schedule](#)

II. Purpose

The forms are intended to facilitate and systematize tenure recommendation procedures on a university-wide basis. Although the departmental/unit tenure committee chairperson is the principal administrative agent who uses most of these forms, uniform procedural integrity cannot be achieved unless careful adherence to their contextual provisions is respected at all administrative levels. If non-substantive errors are made in the record-keeping portion of the procedures (such as failure to initial action taken, misreporting of the number of peers, etc.) or if further clarification is required, these errors may be corrected or clarifications made at any level of review without impacting the timeline for review.

III. Departmental/Unit Level Guidelines

These procedures are designed for normal use in an academic department/unit in the case of a candidate for tenure who is not the departmental/unit chairperson; however, if a departmental/unit chairperson is a candidate for tenure, he/she shall be omitted from the administrative chain, and the dean of the college shall perform all tenure duties normally performed by the departmental/unit chairperson. In the latter case, all form letters would be sent, not from the departmental/unit office, but from the dean's office and in the name of the chairperson of the departmental/unit tenure committee. Likewise, in an academic division of the university designated by some name other than "department" or "unit," the director of that division shall fulfill the role of the departmental/unit chairperson as elaborated in the forms (and if the director is a candidate, then the role is assumed by the person to whom he/she reports at the next higher administrative level). The administrative head of the library shall likewise perform all responsibilities assigned to a departmental/unit chairperson and shall then submit the candidate's dossier directly to the Vice President for Academic Affairs.

Under these procedures, a consideration for tenure should progress as follows:

- A. Beginning with the appointment of the faculty member to a tenure track position, the departmental/unit chairperson shall generate or cause to be generated and retain copies of the following documents: Agreements on Responsibilities (Form T4-~~15~~) for each year, Faculty Annual Reports (Form T5-~~05~~) for each year, student evaluations (using an approved University instrument) and grade distributions (showing the course average against the students' average) for every course the faculty member teaches during each of the previous five years or since initial employment, whichever is the shorter period.
- B. Early in the fall term, the departmental/unit chairperson shall determine whether any member of the department/unit meets the minimum qualifications for tenure by completing Form T2-~~05~~,

Commented [BJ1]: The tenure track schedule has been edited to reflect changes discussed with the senate in Spring 2016. Two reviews during the 2nd year of a tenure-track appointment have been change to one, to take place in the Spring.

and initiate the tenure process by sending to the candidate(s) the letter listed under Form T6-05 before September 1. The departmental/unit chairperson shall then call a meeting no later than September 15 of the tenured departmental peers (as defined in the [TTU Policy 205 on Academic Faculty Tenure](#), section [H, H.IV.1.](#)). The departmental/unit chairperson shall compile a list of departmental/unit peers qualified to vote and make this list available where appropriate. This body of departmental/unit peers shall vote to determine whether it wishes to act as a committee of the whole or to establish a departmental/unit tenure committee to conduct the tenure procedures. Whether consisting of all qualified departmental/unit peers, of a smaller number of qualified departmental/unit peers acting as a separate committee, or of qualified departmental/unit peers and/or others as provided in paragraph C below, the tenure committee shall consist of no fewer than five persons, except in departments/units where the total number of full-time faculty members is five or fewer, or where there are no tenured members of the department/unit, in which case the committee may consist of three persons.

- C. In the event that there be fewer individuals in the department/unit than the minimum number in paragraph b. above, who meet the definition of departmental/unit peers (as defined in ~~the~~ [TTU Policy 205 on Academic Tenure Faculty Tenure](#), section [H, H.IV.1.](#)), the departmental/unit tenure committee must be expanded to include either individuals outside the department/unit who are tenured members of the University faculty, or tenured members of the department/unit who do not meet the above criteria, and who shall be considered peers for all purposes of this process. The selection of these additional members of the tenure committee shall be done by those members of the department/unit who do meet all the stated criteria, in consultation with the departmental/unit chairperson, at the meeting stipulated in paragraph B above. In the event that there be no tenured departmental/unit peers, the departmental/unit chairperson, in consultation with the dean of the college, the candidate, and the entire departmental/unit faculty, shall select a tenure committee of no fewer than three appropriate tenured members of the University faculty.
- D. Even when there are five or more departmental/unit peers who meet all the required criteria for membership on the tenure committee, it may be desirable to incorporate into that committee either non-departmental/unit members or tenured members of the department/unit who do not meet all required criteria. This flexibility shall be left to the professional judgment of those members of the department/unit who do meet all required criteria, acting in consultation with the departmental/ unit chairperson. However, all members of the committee must be tenured members of the faculty. This decision shall be made at the meeting stipulated in paragraph B above.
- E. Once constituted, the tenure committee shall elect its own chairperson, who shall not be the departmental/unit chairperson.
- F. The departmental/unit chairperson shall not vote with the departmental/unit peers and shall not be counted in determining the plenum on which a majority is to be determined, but may submit material to the faculty member's tenure dossier in response to Form T8-05, and may participate in the meeting at which the recommendation of the peers is determined, as provided in paragraph J below.

- G. After the departmental/unit tenure committee has been established and its chairperson selected, responsibility for directing the process transfers to the chairperson of the departmental/unit tenure committee. This committee is an agent of the tenured members of the departmental/unit faculty, gathering and summarizing information. The departmental/unit tenure committee does not make a recommendation or conduct a vote, unless the departmental/unit peers are acting as a committee of the whole.
- H. The chairperson of the departmental/unit tenure committee shall ensure that the candidate's tenure dossier is properly assembled and shall send the letters listed on Forms T7-05 through T12-05, as appropriate, enclosing copies of Forms T4-15 and T13-05, and ensure that responses to these letters are included in the dossier. (Forms T7-05, T8-05, T9-05, T10-05, T11-05, and T12-05 may be sent via electronic mail; however, if electronic mail is used, recipients must be advised that their responses cannot be received by electronic mail but must be supplied on paper with original signature.) When all appropriate materials have been gathered into the dossier, the chairperson of the departmental/unit tenure committee, in consultation with the members of the committee, shall prepare a report synthesizing the materials in the dossier using the format supplied in Form T13-05.
- I. No evaluation and/or recommendation shall be submitted by peers (either within or without one's department/unit) or administrators who are members of the candidate's immediate family. ("Members of the family" is here defined as spouse, parent, grandparent, son, daughter, sibling, parent-in-law, son-in-law, daughter-in-law, brother-in-law, and sister-in-law.) Members of the candidate's immediate family will not be counted in the plenum of departmental/unit peers.
- J. The chairperson of the tenure committee will then send the letters inviting the peers (Form T14-05) and the departmental/unit chairperson to review the dossier, and scheduling schedule a meeting for a discussion of the merits of the candidate and a vote by secret ballot which will determine which type of recommendation the peers wish to make concerning the tenure status of the candidate. (Form T14-05 and other notifications may be sent by electronic mail.) At the departmental/unit meeting, the qualifications of the candidate, should be candidly and professionally discussed. The candidate will not be present at this meeting. The departmental/unit chairperson may participate in the initial phases of this discussion, sharing with the peers his or her professional judgment concerning the materials submitted to the dossier in response to Form T8-05. At an agreed upon point, the departmental/unit chairperson shall withdraw from the meeting, after which discussion may continue. Then, the chairperson of the departmental/unit tenure committee shall conduct the vote by secret ballot utilizing the ballot provided at the bottom of Form T16-05. In this vote, peers who, for compelling professional (such as leave of absence or attendance at professional meetings) or personal (such as hospitalization, being snow-bound) reasons cannot be physically present at the meeting may submit to the chairperson of the tenure committee an absentee vote. This privilege should not be lightly invoked, and shall not be extended to peers who are able to be physically present, inasmuch as participation in the discussion of the merits of the candidate is a significant element in the decision making process. Should a peer who cannot be present at the meeting, due to compelling professional or personal reasons, believe that his/her absence destroys his/her ability to render a professional judgment, he/she may so inform the chairperson of the tenure

committee in writing, in which case the absent peer shall not vote and shall not be counted in determining the plenum on which a majority is to be determined. Following the vote, each peer present shall complete an anonymous evaluation, utilizing the top portion of Form T16-05, giving reasons for his or her vote. Voting is not a choice, but an obligation. Failure to vote counts as a negative vote.

- K. The chairperson of the tenure committee shall then summarize the discussion held at the meeting and compile the results of the evaluations on the upper portions of Form T16-05. Under the direction of the chairperson of the tenure committee, and with no other person than he/she and the typist having access to the forms, all the written comments on the upper portions of Form T16-05 shall be typed on another sheet of paper and included as part of this compilation. The forms containing handwritten comments shall then be detached from the ballots on the lower part of Form T16-05 and shall be destroyed. Copies of this summary and compilation shall be sent to the candidate with Form T17-05, and shall be included with the ballots and the results of the vote in the tenure dossier. The chairperson of the tenure committee shall then initiate Form T18-05 and transmit the entire dossier to the departmental/unit chairperson by November 21.
- L. When the departmental/unit chairperson receives the tenure dossier with the recommendation (as expressed in their vote) of the departmental/unit peers from the departmental/unit tenure committee, he/she shall record his/her recommendation on Form T18-05. If his/her recommendation agrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall transmit the complete tenure dossier to the dean. If his/her recommendation disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the departmental/unit peers explaining why he/she disagrees with their vote, transmit a copy of the letter to the faculty member being considered for tenure and to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, add a copy of the letter to the tenure dossier, and transmit the complete tenure dossier to the dean by January 10.
- M. When the Board has taken action, the departmental/unit chairperson shall return to the candidate the portion of the tenure dossier which can be reassembled, such as publications, computer programs, and slides. The departmental/unit chairperson shall file the remainder of the dossier in the departmental/unit files and retain it for a period of five years from the time of Board action.

IV. List of Forms Used in the Tenure Process

- [Form T1-05](#) PROCEDURES FOR TENURE RECOMMENDATION: FLOW AND CHECK-OFF LIST: This form serves as a check-off list, assuring uniform procedural integrity at all levels of evaluation. The person responsible for any given step should, in the spaces provided, initial and date that step at its completion.
- [Form T2-05](#) TENURE CONSIDERATION CHECK-OFF LIST: This form will be completed by the departmental/unit chairperson early in the fall term for all non-tenured faculty members eligible for consideration. Space is provided at the end for the chairperson's signature and the date on which the check-off list is completed.

- [Form T3-05](#) **TENURE DATA SHEET**: This form ensures considerable uniformity in the gathering of information. The uniformity in format enables the departmental/unit peers, the departmental/unit chairperson, the dean of the college and the Vice President for Academic Affairs to focus on specific factors when comparison of two or more faculty members is necessary. It is suggested that the departmental/unit chairperson as a routine matter have such a form completed for everyone in the department/unit, especially for potential tenure candidates, and that the departmental/unit chairperson and the faculty member review this form each year as part of each faculty member's annual evaluation when they bring up to date the Agreement on Responsibilities (Form T4-15).
- [Form T4-15](#) **AGREEMENT ON RESPONSIBILITIES**: This form outlines the various responsibilities of the faculty member as mutually agreed upon by the faculty member and administrator to whom he/she immediately reports. Since this form sets forth those areas in which the faculty member expects to be evaluated, the relative weights must be taken into account by the departmental/unit peers, the departmental/unit chairperson, the dean of the college, and the Vice President for Academic Affairs. Faculty members truly outstanding in one area, but less active or successful in other areas, may well be contributing more to the University than those adequate in all areas but outstanding in none.

Any faculty member whose duties require an unusual amount of professional activity not adequately covered in Form T4-15, or librarians who are judged on performance of professional responsibilities, should prepare a document which will describe the expected performance to allow clear evaluation in relation to assigned and expected responsibilities. This form (T4-15) provides useful supportive data, and copies of all such forms from the date of initial employment must be part of the faculty member's dossier.

- [Form T5-05](#) **FACULTY ANNUAL REPORT**: This report is to be compiled for each academic year. The Tenure Data Sheet (Form T3-05) requires that this report for the five preceding years, or from the date of initial employment, be included in the candidate's dossier. The required format of the Faculty Annual Report is defined by each academic unit. Every faculty member is expected to prepare and fill out a Faculty Annual Report each year he/she is employed at this University.
- [Form T6 and T6a-05](#) **FORM LETTER TO FACULTY MEMBER ELIGIBLE TO BE CONSIDERED FOR TENURE**: This is the first step taken by the departmental/unit chairperson after determining that a faculty member meets the requirements to be considered for tenure. **If a faculty member is beginning their fifth year of service, Form 6a is utilized. If a faculty member is beginning their sixth year of service, Form T6 is utilized. If tenure consideration proceeds, it** requests the compilation and release of the faculty member's tenure dossier, which subsequently will be available to his/her tenured peers for reference. The tenure dossier for each faculty member will include a Data Sheet (Form T3-05), Agreements on Responsibilities (Form T4-15) for each year since the faculty member was employed, Faculty Annual Reports (Form T5-05) for each year in which the faculty member has taught, student evaluations (using an approved University instrument), and grade distributions (showing the course average against the students' average) for every course the faculty member has taught during every term for the previous five years. The faculty member is also invited to submit a list of individuals from outside the

Commented [BJ2]: This form, presented previously in Spring 2016 as a recommendation from the T&P Committee, was modified for clarity and continuity.

Commented [BJ3]: Edited for clarity, however, this change recommended by the T&P Committee was presented in Spring 2016.

department/unit who will be solicited for evaluations to be added to his/her dossier (use Form T10-05). The tenure dossier may include other relevant materials supplied by the faculty member. The tenure dossier should be organized according to the Tenure Dossier Organization Checklist, which should also be placed at the beginning of the tenure dossier.

- [Form T7-05](#) FORM LETTER TO PEER EVALUATOR REQUESTING INFORMATION FOR A FACULTY MEMBER'S TENURE DOSSIER.
- [Form T8-05](#) FORM LETTER TO THE CHAIRPERSON OF THE DEPARTMENT/UNIT: This form requests that the departmental/unit chairperson submit relevant information that may be available at the department/unit or college level that may be significant to the tenure decision of the peers. It requests information only, not evaluation.
- [Form T9-05](#) FORM LETTER TO THE ADMINISTRATOR TO WHOM THE FACULTY MEMBER IMMEDIATELY REPORTS: Since some faculty members report immediately to an administrator, such as a Director of a Center of Excellence, other than their departmental/unit chairperson, this form is to be used to request submissions to the tenure dossier from that administrator.
- [Form T10-05](#) FORM LETTER TO A NON-PEER EVALUATOR REQUESTING INFORMATION FOR A FACULTY MEMBER'S TENURE DOSSIER: This form is included for the convenience of the chairperson of the tenure committee in soliciting material from evaluators suggested by the candidate. It may be used for non-departmental/unit evaluators and for non-tenured members of the department/unit. Use of these evaluators is not explicitly required by the Policy.
- [Form T11-05](#) FORM LETTER TO FORMER STUDENT: This is not explicitly required for tenure candidates by the Policy.
- [Form T12-05](#) FORM LETTER TO ADVISEE: Candidates for tenure must submit a list of advisees who will be invited by the chair of the tenure committee to submit letters to be included in the candidate's dossier.
- [Form T13-05](#) AREAS AND CRITERIA TO BE CONSIDERED WHEN EVALUATING A PEER FOR A TENURE RECOMMENDATION.
- [Form T14-05](#) FORM LETTER TO DEPARTMENTAL/UNIT PEER EVALUATOR SCHEDULING A VOTE: The vote is to be conducted by secret ballot. The entire contents of the tenure dossier are available for inspection by the departmental/unit peers. Since the Policy on Academic Tenure, Tennessee Technological University, states that "recommendation for or against tenure should originate from the academic department/unit in which the faculty member is assigned," this step may be the most significant one in the procedures for tenure recommendation. The chairperson of the tenure committee will send this form letter to all departmental/unit peers.
- [Form T15-05](#) PEER EVALUATION OF TENURE-TRACK FACULTY.
- [Form T16-05](#) PEER EVALUATION OF A TENURE CANDIDATE.
- [Form T17-05](#) FORM LETTER TRANSMITTING THE REPORT OF THE DEPARTMENTAL/UNIT TENURE COMMITTEE AND THE VOTE OF THE DEPARTMENTAL/UNIT PEERS TO THE FACULTY MEMBER WHO IS BEING CONSIDERED FOR TENURE.

Commented [BJ4]: Added for clarity. This form was prepared by Academic Affairs and reviewed by the T&P Committee.

- Form T18-05 TENURE COVER SHEET: The chairperson of the tenure committee initiates this form after the departmental/unit peers have voted. Form T18-05 should be the ~~first~~ second document in the faculty member's dossier and should be dated and initialed at each step. The chairperson of the tenure committee places this form in the tenure dossier and transmits the entire tenure dossier to the departmental/unit chairperson.
- TENURE DOSSIER CHECKLIST: This form is used to organize the tenure dossier in a uniform way.
- PROMOTION DOSSIER CHECKLIST: This form is used to organize the promotion dossier in a uniform way.
- TENURE AND PROMOTION COMBINED DOSSIER CHECKLIST: This form is used to organize a combined dossier for both tenure and promotion.

Commented [BJ5]: These are new forms, currently in use at TTU, prepared by Academic Affairs for continuity.

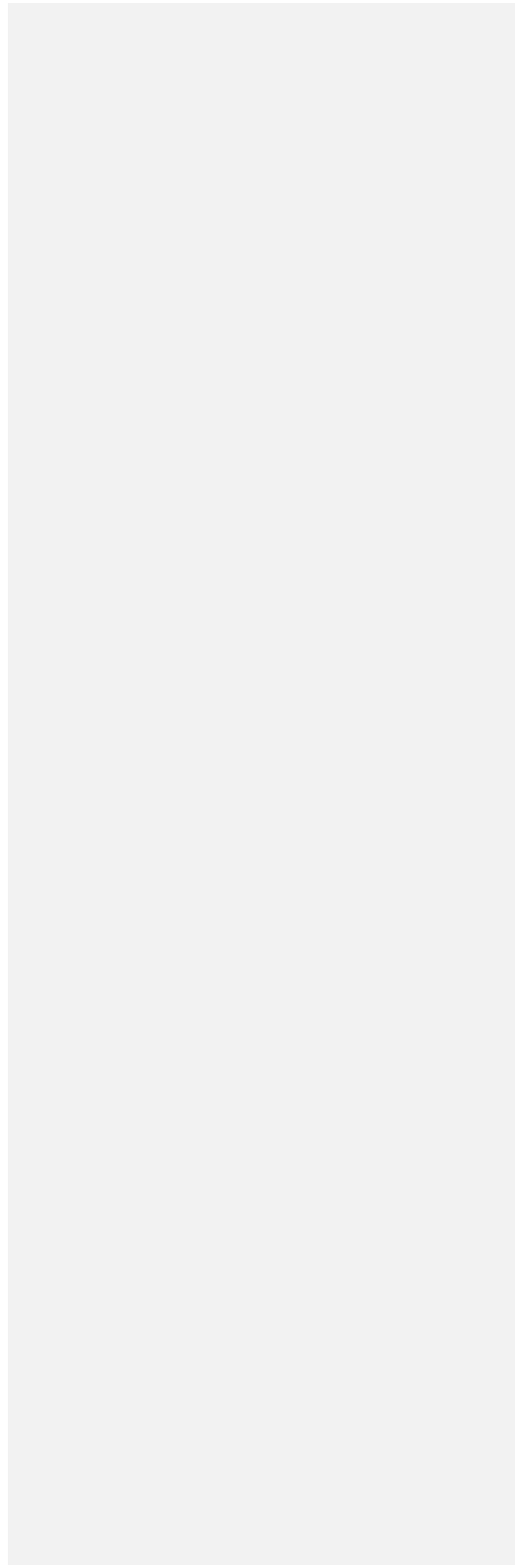
V. Dean of the College Guidelines

- The dean shall review the dossier (see Form T1-05, Item 4) and make a recommendation on the Tenure Cover Sheet (Form T18-05, item 3). Committees at the college level are not authorized by these procedures.
- If the dean disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the departmental/unit peers explaining the reason(s) for his/her disagreement. He/she shall also forward a copy of the letter to the candidate for tenure, to the departmental/unit chairperson, and to the administrator to whom the faculty member immediately reports, if this is not the chairperson, and he/she shall include a copy of the letter in the tenure dossier.
- The dean shall forward the unabridged dossier to the Vice President for Academic Affairs by February 15 (See Form T1-05, item 4).
- The dean shall perform all tenure recommendation duties normally performed by the departmental/unit chairperson if the chairperson is a candidate for tenure. (See the description of procedures given in III above).

VI. Vice President for Academic Affairs Guidelines

- The Vice President for Academic Affairs shall review the dossier (see Form T1-05, item 5) and make a recommendation on the Tenure Cover Sheet (Form T18-05, item 3). Committees at the university level are not authorized by these procedures.
- If the Vice President for Academic Affairs disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the departmental/unit peers explaining the reason(s) for his/her disagreement. He/she shall also forward a copy of the letter to the candidate for tenure, to the departmental/unit chairperson, to the administrator to whom the faculty member immediately reports, if this is not the chairperson, and to the dean, and he/she shall include a copy of the letter in the tenure dossier.
- The Vice President for Academic Affairs shall forward the complete dossier with his/her recommendation to the President by March 15 (see Form T1-05, item 5).

[Approved by the General Faculty Fall 1997; approved by the TBR Summer 2001. Editorially revised by the University Assembly April 25, 2001. Approved by the University Faculty April 27, 2005.]



Tenure-Track Years

	Peer Review			Administrative Decision		
	Notification to Put Dossier Together	Deadline for Dossier	Deadline for Tenure-Track Review by Peers*	Notification Date if Renewed	Notification Date if Not Renewed	Date of Termination
1st Year	December 1	January 15	February 1	March 1	March 1	End of 1st Year
2nd Year	September 1	October 15	November 15	December 15	December 15	End of 2nd Year
	January 15	February 15	March 1	End of Academic Year	End of Academic Year of 2nd Year	End of 3rd Year
3rd Year*	January 15	February 15	March 1	End of Academic Year	End of Academic Year of 3rd Year	End of 4th Year
4th Year*	January 15	February 15	March 1	End of Academic Year	End of Academic Year of 4th Year	End of 5th Year
5th Year*	January 15	February 15	March 1	End of Academic Year	End of Academic Year of 5th Year	End of 6th Year
6th Year Tenure Evaluation**	September 1	October 15	November 21	No Renewal Possible***	End of 6th Academic Year	End of 7th Year

*For a full description of prior service credit see [TTU Policy 205- Faculty Tenure 2005, Section III. F. 1.](#)

The faculty member may apply for tenure at the beginning of the ~~sixth~~-~~fifth~~ year after completing a probationary period of not less than ~~five~~-~~four~~ years. They may also defer to the beginning of the sixth year (See Academic Tenure Policy [205 Section III.E. and F.](#) for exceptions.) **A faculty member may apply for tenure only once. If the ultimate result of the tenure application is negative, there is no second chance.

Reporting Deadlines:

- P/T Committee to Chair - November 21
- Chair to Dean - January 10
- Dean to VPAA - February 15
- VPAA to President - March 15
- President ~~to TBR—as designated by~~ the Board

[Approved by the University Faculty April 27, 2005.]

PROCEDURES FOR TENURE RECOMMENDATION: FLOW AND CHECK-OFF LIST

Name _____

Instructions: This form serves as a check-off list, assuring uniform procedural integrity at all levels of evaluation. It is initiated by the department/unit chairperson. The person responsible for any given step should, in the spaces provided, initial and date that step at its completion.

1. The departmental/unit chairperson

- ___ a. Early in the fall term, shall determine whether a faculty member is eligible to be considered for tenure by completing Form T2 and notify eligible faculty members no later than September 1 by means of Form T6 that they should compile their tenure dossiers should they desire to be considered for tenure. By means of the same letter, each faculty member also indicates he/she has been notified about the forms and procedures associated with the tenure process.
- ___ b. Compile a list of departmental/unit peers qualified to vote and supply this list to the tenure committee chair.
- ___ c. Call a meeting by September 15 of the departmental/unit peers and determine the composition of the departmental/unit tenure committee.

2. The chairperson of the departmental/unit tenure committee shall

- ___ a. Solicit by letter all information requested by the candidate and provided for by these procedures.
- ___ b. Send letters to all departmental/unit peers requesting evaluative information for the candidate's tenure dossier. Should there not be five peers (not including the departmental/unit chairperson) in the department/unit to which the faculty member belongs, see Section 3-e.III.C. of the Tenure Procedures and Forms List 2005-document.
- ___ c. In consultation with all the members of the committee, prepare a report on the contents of the tenure dossier and submit the report to the departmental/unit peers. Use Form T13.
- ___ d. Notify the tenured peers by letter (Form T14) and the departmental/unit chairperson that the tenure dossier is complete and arrange for a meeting at which the qualifications of the candidate will be discussed and the vote will be taken.

- ___ e. Determine, based on the vote of the tenured peers, whether the faculty member is to be recommended for tenure (see [3-j.III.J. in Tenure Procedures and Forms List](#)); then, initiate Form T18.
 - ___ f. Immediately transmit a copy of the departmental/unit tenure committee's report to the candidate and notify him/her of the vote of the departmental/unit faculty. Use Form T17.
 - ___ g. After ensuring its completeness, forward the unabridged dossier to the departmental/unit chairperson by November 21.
3. ___ a. The departmental/unit chairperson shall review the dossier, ensure its completeness, make a recommendation using Form T18, and forward all the documents to the dean of the college by January 10.
- ___ b. If the departmental/unit chairperson disagrees with the recommendation as expressed in the vote of the tenured peers, he/she shall write a letter to those peers informing them of the reasons for his/her decision. A copy of the letter shall be sent to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and to the candidate, and a copy of the letter shall be placed in the tenure dossier.
4. ___ a. The dean of the college shall review the dossier, make a recommendation using Form T18, and forward all the documents to the Vice President for Academic Affairs by February 15.
- ___ b. If the dean disagrees with the recommendation as expressed in the vote of the tenured peers, he/she shall write a letter to those peers informing them of the reasons for his/her decision. A copy of the letter shall be sent to the departmental/unit chairperson, to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and to the candidate, and a copy of the letter shall be placed in the tenure dossier.
5. ___ a. The Vice President for Academic Affairs shall review the dossier, make a recommendation using Form T18, and forward all the documents to the President by March 15.
- ___ b. If the Vice President for Academic Affairs disagrees with the recommendation as expressed in the vote of the tenured peers, he/she shall write a letter to those peers informing them of the reasons for his/her decision. A copy of the letter shall be sent to the dean, to the departmental/unit chairperson, to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and to the candidate, and a copy of the letter shall be placed in the tenure dossier.

6. The President shall

- ___ a. upon receipt of the dossier from the office of the Vice President for Academic Affairs, review Form T18, make a recommendation, and, not later than the last day of the academic year,
 - ___(1) if the recommendation agrees with the vote of the tenured peers and is affirmative, submit it to the TTU Board of Regents Trustees.
 - ___(2) if it agrees with the vote of the tenured peers and is negative, inform the candidate by letter of his/her decision.
 - ___(3) if it disagrees with the vote of the tenured peers and is negative, inform the candidate by letter of the reasons for his/her disagreement (with a copy to the Vice President for Academic Affairs, the dean, the departmental/unit chairperson, the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and the peers).
 - ___(4) if it disagrees with the vote of the tenured peers and is positive, submit the recommendation to the TTU Board of Regents Trustees.
- ___ b. for those candidates recommended to the Board for tenure, inform the candidate by letter of the action of the Board; and
- ___ c. return the completed dossier to the department/unit. See 3-m.III. M. of the Tenure Procedures and Forms List 2005 document.

TENURE CONSIDERATION CHECK-OFF LIST

Name _____

Check-off list to determine whether faculty member meets the minimum requirements for consideration for academic tenure (Note: tenure consideration can only occur one time).

1. Faculty member holds a full-time, tenure-track appointment in one of the following academic ranks (see Policy 206 - on-Faculty Promotion-2005, Section IV, Tennessee Technological University).

- _____ a. instructor _____ b. assistant professor
 _____ c. associate professor _____ d. professor

2. By the end of the current academic year, the faculty member

_____ a. will have completed not less than six-five continuous years of probationary service (six-five years of continuous service are required, except in the case of an approved leave of absence which usually cannot count as any part of the probationary period as described in Section III-F.V. E. 2 of TTU Policy 205 – Faculty Academic-Tenure); or

_____ b. will have completed six continuous years of probationary service and thus be required for tenure consideration (see note in 2.a.); or

_____ c. will not have completed six-five continuous years of probationary service at Tennessee Technological University, but

_____ (1) has been granted an exception to the minimum probationary period under special circumstances upon recommendation by the President, or

_____ (2) has received a reduction in the probationary period due to exceptional accomplishment. Such a reduction is made upon the recommendation of the department/unit peers, to the dept/chair, and thence to the dean, the provost, and the President ~~and approval of the Chancellor~~, or

_____ (3) satisfies the six-five-year requirement by having received credit for service in keeping with the following criteria:

_____ (a) by receiving credit for no more than three-two years of previous full-time service, and

_____ (b) by having credit for any prior service confirmed in writing by the President at the time of the initial appointment.

Completed by _____

Date _____

TENURE DATA SHEET

1. Name _____
(Last) (First) (Middle)

2. Date _____
(Month) (Day) (Year)

3. Present rank _____

4. Date present rank was assigned _____

5. Date first employed at TTU _____

6. Has service been continuous since appointment? yes ___ no ___

7. If employment has not been continuous, show how service has been broken. (For this and the following items, attach separate sheets if necessary.)

8. Curriculum Vita (to minimally include Education, Prior teaching experience, other professional experience*, Presentations and Publications*, Honors and recognitions, Funding Endeavors/Status* and Consulting and professional activities*) _____

9. Student evaluations (most recent first)*

10. Grade distribution reports (most recent first)*

11. Form T4* (most recent first)

12. Form T5* (most recent first)

13. Other relevant information (this section may need its own Table of Contents which will vary from faculty to faculty)

*From initial employment.

Commented [BJ1]: This form has been modified for clarity and to provide continuity across campus. It is appropriate for professorial and instructor ranks.

**AGREEMENT ON RESPONSIBILITIES
Planning Document**

Faculty Member (Please print)

Department/Unit

Each faculty member and the administrator to whom he/she immediately reports shall determine in a cooperative fashion the activities and percentage of effort in each area of responsibility for the coming academic year. **Deadline to file: April 1st.***

Areas of Responsibility	% of Effort	Planned Activities	
		Fall 20__	Spring 20__
<p align="center">Teaching</p> <p>(Use number of courses, credit hours, and/or contact hours.)</p> <p>1. On Campus Teaching</p> <p>2. Off-Campus (Site) Teaching</p> <p>3. Online Teaching</p> <p>Normal teaching assignment per semester in this unit is: _____</p> <p>Any additional compensation: _____</p> <p>*If teaching in more than one department/unit on campus, please report the activities and percentage of effort in each department/unit separately.</p>		Comments:	Comments:
Advisement			
Research/Scholarship/Creative Activity			
Service/Outreach			
Administration			

Disclosure of outside employment

By University policy, faculty members must notify their chairpersons/supervisors of outside and/or extra assignments. These include not only off-campus employment but also overload teaching, both on- and off-campus. Please check the appropriate response below:

- ___ I have notified my supervisor of anticipated outside employment.
- ___ I do not anticipate undertaking outside employment during the Spring and Fall semesters covered by this Agreement on Responsibilities.

Changes will be noted on my annual activities report.

Signed _____ T# _____ Date _____
Faculty Member (Please sign)

Signed _____ Date _____
Administrator to whom he/she immediately reports

*Process and deadline: Forms should be completed and signed during the annual meeting between each faculty member and his/her chair or director. Copies should be filed in the departmental office and in the Office of Academic Affairs **by April 1st of each year**. Individual forms may be revised at any time by mutual consent of the faculty member and his/her department chair. Faculty members beginning their employment at TTU in January will complete two forms, one covering their first Spring semester and one covering the following Fall and Spring semesters. Faculty members beginning in August will complete the form to cover their first academic year.

Definitions:

Normal teaching assignment The assignment for any faculty member in the unit who is not receiving special released time for additional administration, research, service, or a leave of absence.

Teaching Applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, mentoring, development of course materials or courseware, and development of innovative approaches to instruction.

Advisement Includes the time devoted to student advisement by any faculty member who has been officially appointed as Faculty Advisor to undergraduate or graduate students.

Research/Scholarship/Creative Activity Applies to the studious inquiry, examination or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship/creative activity may include, but is not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, and creative activities (e.g., film making, performances, or other artistic creations).

Service/Outreach Applies to involvement within the community as defined by the University's role and mission, service to the University, service within the bounds of the faculty member's discipline and budgeted assignment, and for which the faculty member is given teaching equivalency time.

Administration Includes the percentage of time devoted to administrative activities in this account number for which a faculty member is given teaching equivalency time.

Outside Employment ~~Means~~ Defined as "outside of and in addition to normal work assignments and responsibilities" and includes teaching or consulting for organizations other than TTU
(<http://www.tntech.edu/adminpandp/perspay/pp18.html>).

FACULTY ANNUAL REPORT

As part of the annual evaluation process, each faculty member is required to prepare and file a Faculty Annual Report documenting activities and effort with respect to his/her current Agreement on Responsibilities. Each academic unit is required to define an appropriate format for the Faculty Annual Report. At a minimum, the report format should provide documentation of the faculty member's activities and effort related to the areas on the Agreement on Responsibilities: teaching, advisement, research/scholarship/creative activity, service/outreach, and administration. Academic units may add areas as needed to completely document a faculty member's work. Academic units may also use the previously required Faculty Activity and Load Reports to meet the requirements for the Faculty Annual Report. As a result of the deadlines for tenure dossier preparation, the Faculty Annual Report for the current year will always be a partial report.

FORM LETTER TO FACULTY MEMBER TO BE CONSIDERED FOR TENURE
(Type on departmental/unit letterhead)

[date]

[Faculty Member]

[Campus Address]

Dear [Faculty Member]:

You are hereby notified that a review of departmental/unit personnel files to identify faculty members who are to be considered for tenure indicates that you have the requisite number of years in service.

Your tenured departmental/unit peers will soon decide whether to recommend you for a tenure appointment. In order to provide us with as much information as possible, will you please compile and release your tenure dossier, which subsequently will be available to the tenured departmental/unit faculty members for reference. Please refer to the Policy 206 - on Academic Faculty Tenure-2005, Tennessee Technological University, and the Tenure Procedures and Forms PacketList-2005, especially Form T3-05, for information concerning the materials which are required to be included in your tenure dossier and the process which will be followed.

Any material you submit will be included unabridged in your completed dossier. Your dossier will be available to all of your departmental/unit peers for review and action and will be forwarded through administrative channels for action. All materials must be submitted to the departmental/unit tenure committee by October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Departmental/Unit Chairperson

ABC:de

Received by hand this day _____

Signed _____

Note: This letter will be prepared in duplicate and both copies will be dated and signed in the first two spaces above before September 1. One copy will be reviewed, signed, dated on the bottom line, and returned to the departmental/unit chairperson. The other copy will be retained by the faculty member.

FORM LETTER TO FACULTY MEMBER TO BE CONSIDERED FOR TENURE
DURING THE FIFTH YEAR OF SERVICE
(Type on departmental/unit letterhead)

[date]

[Faculty Member]
[Campus Address]

Dear [Faculty Member]:

You are hereby notified that a review of departmental/unit personnel files to identify faculty members who are eligible to be considered for tenure indicates that you have the requisite number of years in service. You do not have to be considered for tenure at this time. A candidate may be considered for tenure only one time.

If you choose to be considered for tenure at this time, your tenured departmental/unit peers will soon decide whether to recommend you for a tenure appointment. In order to provide us with as much information as possible, will you please compile and release your tenure dossier, which subsequently will be available to the tenured departmental/unit faculty members for reference. Please refer to ~~the~~ Policy 205 - on Academic Faculty Tenure-2005, Tennessee Technological University, and the Tenure Procedures and Forms PacketList-2005, especially Form T3-05, for information concerning the materials which are required to be included in your tenure dossier and the process which will be followed.

Any material you submit will be included unabridged in your completed dossier. Your dossier will be available to all of your departmental/unit peers for review and action and will be forwarded through administrative channels for action. All materials must be submitted to the departmental/unit tenure committee by October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Departmental/Unit Chairperson

ABC:de

Received by hand this day _____

Signed _____

I do not wish to be considered for tenure during this academic year.

Note: This letter will be prepared in duplicate and both copies will be dated and signed in the first two spaces above before September 1. One copy will be reviewed, signed, dated on the bottom line, and returned to the departmental/unit chairperson. The other copy will be retained by the faculty member.

FORM LETTER TO PEER EVALUATOR REQUESTING INFORMATION
FOR A FACULTY MEMBER'S TENURE DOSSIER
(Type on departmental/unit letterhead)

[date]

[Peer Evaluator]

[Address]

Dear [Peer Evaluator]:

[Faculty Member] is being considered for tenure. As one of [Faculty Member]'s peers, you are requested to assist in evaluating the quality and significance of [his/her] performance in teaching, research/scholarship/creative activity, and service/outreach. If you choose to put your evaluation in writing, please put it in the form of a letter to me. A copy of [Faculty Member's] Agreement on Responsibilities and Form T13, which describes the various criteria to be considered for tenure, are available in the departmental/unit office. Should you elect to respond, your letter will be included without abridgment in [Faculty Member]'s tenure dossier and will be used in the formulation of a report on [Faculty Member] to be submitted to the department/unit by the departmental/unit tenure committee. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Your letter should reach my office no later than October 15, ____.

After [Faculty Member's] tenure dossier has been compiled, including the summary report of its contents, you will be requested to participate in a meeting of the tenured members of the departmental/unit faculty at which [Faculty Member's] qualifications will be discussed and a secret ballot taken as to the following options:

- (a) Grant a tenure appointment
- (b) Decline to renew the contract.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

This letter may be sent via electronic mail

If the candidate is being considered for both tenure and promotion, and wishes to have an evaluator asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms T7 and P7 so that the evaluator need write one letter only.

FORM LETTER TO THE CHAIRPERSON OF THE DEPARTMENT/UNIT
(Type on departmental/unit letterhead)

[date]

[Departmental/Unit Chairperson]
[Campus Address]

Dear [Departmental/Unit Chairperson]:

[Faculty Member] is being considered for tenure. As chairperson of [Faculty Member's] academic department/unit, you may be aware of information about [him/her] which is relevant to the decision the departmental/unit peers will be making about [his/her] tenure. You are requested in consultation with Dean [name] to supply the departmental/unit tenure committee any information which may be relevant and which perhaps would not become known to the committee from other sources. The committee is seeking relevant information about [Faculty Member's] teaching, research/scholarship/creative activity, and service/outreach. All relevant data should be submitted at this point and may not be submitted later in the tenure process. At this point, only information is requested, as you will have an opportunity to evaluate the candidate at a later stage of the tenure process.

Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Whatever materials you wish to submit or a statement to the effect that you will not be submitting any materials should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both tenure and promotion, the chairs of the two committees may combine Forms T8 and P8 so that the chairperson need write one letter only.

FORM LETTER TO THE ADMINISTRATOR TO WHOM THE FACULTY MEMBER
IMMEDIATELY REPORTS

[Type on departmental/unit letterhead]

[date]

[Administrator]

[Address]

Dear [Administrator]:

[Faculty member] is being considered for tenure. As the administrator to whom [Faculty Member] immediately reports, you are requested to assist in evaluating the quality and significance of [his/her] performance in teaching, research/scholarship/creative activity, and service/outreach. A copy of [Faculty Member's] Agreement on Responsibilities and Form T13, which describes the various criteria to be considered for tenure, are available in the departmental/unit office. Should you elect to respond, any material you submit will be included without abridgement in [Faculty Member]'s tenure dossier and will be used in the formulation of a report on [his/her] to be submitted to the departmental/unit peers by the departmental/unit tenure committee. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Whatever materials you wish to submit should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both tenure and promotion, the chairs of the two committees may combine Forms T9 and P9 so that the administrator need write one letter only.

FORM LETTER TO A NON-PEER EVALUATOR REQUESTING INFORMATION
FOR A FACULTY MEMBER'S TENURE DOSSIER
(Type on departmental/unit letterhead)

[date]

[Non-Peer Evaluator]
[Address]

Dear [Non-Peer Evaluator]:

[Faculty Member] is being considered for tenure. [Faculty Member] has requested that you be asked to assist in evaluating [his/her] performance. Enclosed are a copy of [Faculty Member's] Agreement on Responsibilities and Form T13, which describes the various criteria to be considered for tenure. [A copy of [Faculty Member's] Agreement on Responsibilities and Form T13, which describes the various criteria to be considered for tenure, are available in the departmental/unit office.]* Should you elect to respond, your letter will be included without abridgment in [Faculty Member]'s tenure dossier and will be used in the formulation of a report on [Faculty Member] to be submitted to the department/unit by the departmental/unit tenure committee. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Your letter should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

Enclosures: Agreement on Responsibilities & Form T13

This letter may be sent via electronic mail.

If the candidate is being considered for both tenure and promotion and wishes to have a non-peer evaluator asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms T10 and P10 so that the evaluator need write one letter only.

**Make the appropriate changes in the form depending on whether the recipient is on or off campus.*

FORM LETTER TO FORMER STUDENT
(Type on departmental/unit letterhead)

[date]

[Former Student]

[Address]

Dear [Former Student]:

[Faculty member] is being considered for tenure. As one of [Faculty Member's] former students, you are invited to assist in evaluating [his/her] performance as a teacher. Your letter will be enclosed without abridgement in [Faculty Member's] tenure dossier. [Enclosed are a/A] copy of [Faculty Member's] Agreement on Responsibilities and Form T13, which describes the various criteria to be considered for tenure [./, are available in the departmental/unit office.]* Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Should you elect to respond, your letter should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

Enclosures: Agreement on Responsibilities & Form T13 (if applicable)

This letter may be sent via electronic mail.

If the candidate is being considered for both tenure and promotion and wishes to have a former student asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms T11 and P12 so that the evaluator need write one letter only.

**Make the appropriate changes in the form depending on whether the recipient is on or off campus.*

FORM LETTER TO ADVISEE
(Type on departmental/unit letterhead)

[date]

[Advisee]

[Address]

Dear [Advisee]:

[Faculty Member] is being considered for tenure. As one of [Faculty Member]'s advisees, you are invited to assist in evaluating [his/her] performance by giving your opinion of [him/her] as an academic advisor. A copy of [Faculty Member's] Agreement on Responsibilities and Form T13, which describes the various criteria to be considered for tenure, are available in the departmental/unit office. Should you elect to respond, your comments will be included without abridgment in [Faculty Member]'s tenure dossier. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. The material should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including tenure files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both tenure and promotion and wishes to have an advisee asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms T12 and P13 so that the evaluator need write one letter only.

AREAS AND CRITERIA TO BE CONSIDERED WHEN EVALUATING A PEER FOR A TENURE RECOMMENDATION

The following format contains summaries of performance in the areas of teaching, research/scholarship/creative activity, and service/outreach in which a candidate for tenure is to be evaluated, and the criteria to be used in making the evaluation. When the candidate's dossier has reached the appropriate stage of completion, the departmental/unit tenure committee will review and synthesize its contents in accordance with this format in a written report.

These listings of criteria are not meant to be all-inclusive; they are intended to serve as aids in assuring that no relevant criteria are overlooked. The evaluator is therefore urged to consider additional criteria as they seem substantive and appropriate. It is not expected that the candidate will have contributed equally to all areas listed. It is expected, however, that, if a candidate's activities are unusually limited in one area, this be counterbalanced by superiority in other areas of responsibility. Likewise, if the faculty member is assigned to an area such as continuing education or extended service or to on-line teaching or on-line course development, to the library, to a research area or other specialized area, this departure from the more traditional assignment involving a balance among teaching, research/scholarship/creative activity, and service/outreach will be reflected in the candidate's Agreement on Responsibilities.

1. Teaching may consist of a combination of the following professional activities:
 - a. Classroom, on-line, and laboratory teaching of credit courses and seminars, including preparation and delivery of lectures, conduct of classes, supervision of laboratory work, evaluation of students, and conferences with students regarding coursework. This activity may be conducted on a team basis.
 - b. Individual instruction, including (1) directed individual studies, i.e., credit instruction on an informal individual basis; (2) private lessons, e.g., private music lessons; (3) supervision of student interns, such as students enrolled in a practicum, practice teaching, or work experience courses, and cooperative education students; including evaluation of student progress, conduct of seminars and critique sessions, and counseling of students; (4) thesis and dissertation supervision, including service as a member or chair of graduate committees; and (5) clinical teaching, as in a health-related field.
 - c. Academic advisement, including informal counseling with students on academic course or program selection and scheduling, and other matters related to academic progress.
 - d. Course materials, curriculum, and teaching methodology development, such as development of new approaches, improvement of teaching materials, experimentation with teaching methodologies and assessment methods, and development of structure, content, and sequence of courses.
 - e. Non-credit instruction in professional non-credit continuing education programs and development of professional instruction programs, which may be on an assigned or overload basis.

- f. For librarians, instruction is to be equated with the performance of professional library responsibilities.
- g. Faculty development, i.e., formal and informal activities primarily directed to maintaining and enhancing faculty teaching capabilities.

Criteria to be considered in evaluating instruction include the effectiveness, resourcefulness, creativity, and/or intellectual enthusiasm and rigor associated with the candidate's activities.

2. Research/Scholarship/Creative Activity includes those professional activities designed to discover, create, or disseminate greater knowledge, appreciation, or understanding of an academic discipline, including, but not limited to:
 - a. Pure research: seeking new knowledge, investigating realms not covered by current understanding or challenging current understanding.
 - b. Applied research: the application of known methods or theories to specific circumstances.
 - c. Pedagogical research: the development of pedagogical techniques and their application in the classroom or laboratory, furthering the dissemination of knowledge.
 - d. Artistic creativity and performance: the creation and exhibition of works of art or crafts, or the composition and/or performance of plays, music, etc.
 - e. Faculty development: formal and informal activities primarily directed to maintain and enhance faculty research, scholarship, or creative capabilities or performance.

Evaluation of the candidate's research/scholarship/creative activity should stress the quality of the documented work, and should be based on the professional judgment of peers in the discipline. Documentation of these activities should manifest ability in the candidate's discipline. Some methods of documenting this evaluation include, but are not limited to, publication of articles in refereed journals, publication of books by recognized presses, proprietary research, production of juried artistic works, presentation of refereed papers at professional meetings, obtaining competitive grants from professional agencies, or similar means.

3. Service/Outreach includes those activities undertaken in service to the community, the University, the higher education profession as a whole, and the faculty member's academic discipline, including:
 - a. Service to students unrelated to credit instruction, such as sponsoring student organizations and extracurricular activities, and non-assigned tutorial instruction to enhance the academic skills of students.
 - b. Service to the University, such as service on departmental/unit, college, and University committees, assignments involving student recruitment, institutional development, public relations, and consultation with University offices.
 - c. Service to scholarly and professional organizations, including participation in such organizations as an officer or committee member, as a member of an editorial board of a scholarly or professional organization, or service to accrediting organizations and agencies.
 - d. Service to the community, industry, or government, including (1) professional service, i.e., service directly related to the professional expertise of the faculty member, including consulting activities whether for compensation or not; and

- (2) other contributions to the cultural environment of the community, such as service as an officer or member of boards or committees, service to non-profit charitable organizations, or to governmental agencies.
- e. Faculty development, i.e., formal and informal activities primarily directed to maintaining and enhancing faculty capabilities in public and professional service.

Instructions for Committee Summary of a Dossier

After reviewing the materials in the candidate's dossier, including the letters of recommendation, the departmental/unit tenure committee shall summarize the record of the candidate in each of the areas of teaching, research/scholarship/creative activity, and service/outreach. This synthesis shall not only summarize the data contained in the dossier, but shall compare it with the weights given each area in the candidate's Agreement on Responsibilities. Finally, the committee shall provide a general summary of the candidate's achievements. Each such report shall be signed and dated by the chairperson of the departmental/unit tenure committee.

FORM LETTER TO DEPARTMENTAL/UNIT PEER EVALUATOR
SCHEDULING A VOTE

(Type on departmental/unit letterhead)

[date]

[Tenured Peer Evaluator]

[Campus Address]

Dear [Tenured Peer Evaluator]:

The department/unit must decide whether to recommend [Faculty Member] for a tenure appointment. In keeping with University policy that recommendation for tenure devolves from the professional judgment of tenured peers, I request that you, as [Faculty Member]'s peer, participate in the decision-making process.

[Faculty Member]'s tenure dossier containing the report of the Departmental/Unit Tenure Committee is available in [name of place] for your consideration. Please refer to the report on the dossier prepared by the Committee and to the dossier itself and come to the meeting on [date, time, location] prepared to discuss the merits of the candidate and vote by secret ballot for one of the following options:

- (a) Grant a tenure appointment
- (b) Decline to renew the contract.

If, for a compelling professional or personal reason, you cannot attend the meeting, you may submit an absentee vote to the chairperson of the departmental/unit tenure committee by [date]. This privilege should not be lightly invoked, and shall not be extended to peers who are able to be physically present, inasmuch as participation in the discussion of the merits of the candidate and the recommendation of the tenure committee is a significant element in the decision-making process. Should you not be able to attend the meeting due to compelling professional or personal reasons and feel your absence destroys your ability to render a professional judgment, you may so inform me in writing by [date], in which case you shall not vote and will not be counted in determining the plenum on which a majority is to be determined.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

This letter may be sent by electronic mail.

PEER EVALUATION OF A TENURE CANDIDATE

Name _____ Department/Unit _____

Date _____ Date Employed _____

The department/unit must decide whether to recommend _____ for a tenure appointment. In keeping with University policy that recommendations for tenure devolve from the professional judgment of tenured peers, you are required to participate in the decision making process by completing the following evaluation, including the sections calling for comments. Only the chair of the tenure committee will see these individual evaluation forms, but comments will be summarized and shared with the candidate. Please check the appropriate descriptor for each area of emphasis, making additional comments as appropriate.

CONTRIBUTION TO UNIVERSITY MISSION

Degree of Emphasis*

Teaching: OUTSTANDING HIGH GOOD ACCEPTABLE UNACCEPTABLE

*()

Comments: _____

Advisement: OUTSTANDING HIGH GOOD ACCEPTABLE UNACCEPTABLE

*()

Comments: _____

Research/Scholarship/Creative Activity: OUTSTANDING HIGH GOOD ACCEPTABLE

*()

UNACCEPTABLE

Comments: _____

Service/Outreach: OUTSTANDING HIGH GOOD ACCEPTABLE

*()

UNACCEPTABLE

Comments: _____

Administration: This part is not evaluated by departmental peers.

Based on the above evaluation, indicate your recommendation by selecting one of the following options:

- a) _____ grant a tenure appointment, or b) _____ decline to renew contract

*Supplied by the chairperson of the tenure committee from the Agreement on Responsibilities for the current year.

FORM LETTER TRANSMITTING THE REPORT OF THE DEPARTMENTAL/UNIT
TENURE COMMITTEE AND THE VOTE OF THE TENURED DEPARTMENTAL/UNIT
PEERS TO THE FACULTY MEMBER WHO IS BEING CONSIDERED FOR TENURE
(Type on departmental/unit letterhead)

[date]

[Faculty Member]
[Campus Address]

Dear [Faculty Member]:

Enclosed is a copy of the report prepared on your tenure dossier by the departmental/unit tenure committee. This report was compiled on the basis of all of the information contained in your dossier, and a copy of this report has been included in your tenure dossier. Also, enclosed is a copy of the summary and compilation of the meeting of your peers where the tenure vote was taken.

Your tenured departmental/unit peers have voted and the tabulation of the vote is as follows:

_____ Grant a tenure appointment;
_____ Decline to renew the contract;
_____ Not voting.

Sincerely,

Chairperson of Departmental/Unit Tenure Committee

ABC:de

Enclosure

Received by hand this day _____

Signed _____

Note: This letter will be prepared in duplicate, both copies dated and signed by the faculty member in the spaces provided above. One copy becomes the property of the faculty member; the other copy is retained by the department/unit.

TENURE COVER SHEET

Faculty Member's Name _____

Rank _____ College _____ Department/Unit _____

1. It has been determined that the faculty member meets the criteria for consideration for tenure.

2. Evaluation by tenured faculty: Out of a total of _____ qualified departmental/unit peers*,

peers have submitted recommendations as follows (show total for each category): _____

	Award Tenure	Not Renew Contract	Not Voting	Date and Initials of Committee Chairperson
Faculty				

The vote of the departmental/unit peers shall be interpreted as follows: A majority vote for the option to grant tenure or not to renew the contract is required for either of the options to be presented as the recommendation of the peers. Majority is to be determined by the majority of the qualified departmental/unit peers, not the majority of those voting.

3. Profile of recommendations at all levels (spaces provided on the right to be dated and initialed at each level):

Voting Category	Award Tenure	Not Renew Contract	Date and Initials
Departmental/Unit Chair			
College Dean			
Provost and Vice President for Academic Affairs			
President			

Enclosures (in order): Form T1, Form T2, Form T3, Forms T4, and T5 for each year since the faculty member was employed, student evaluations (using an approved University instrument) for each term (in all classes) for each of the previous five years or since initial appointment, whichever is the shorter period, and grade distributions (showing the course average against the students' average) for the terms in which the student evaluations are conducted, and if available, letters from departmental/unit peers, letter from the departmental/unit chairperson, letter from the administrator to whom the faculty member immediately reports, if not the departmental/unit chairperson, letters from individuals from outside the department/unit, other materials. [The Dossier organization should follow the Tenure Dossier Checklist.](#)

**Complete list of peers qualified to vote must be attached.*

Checklist of Required Items for Tenure and Preferred Order in Dossier

Name (incl. Title): _____ Dept.: _____

Present Rank: _____

Date of Employment: _____ Rank Assigned: _____

Vote of Peers: _____ Tenure _____ Do Not Tenure _____ Not Voting _____ Total

Number of Qualified Peers: _____ Committee Chairperson: _____

CHECK THAT THE CORRECT FORMS ARE USED: ONLY NEW POLICY FORMS ARE ACCEPTABLE. Forms can be found [HERE](#).

_____ **Form T18 – Tenure Cover sheet** Dated and initialed _____ List of peers attached _____

_____ **Form T1 – Flow & Check-off List** Dated and initialed _____

_____ **Form T2 – Tenure Consideration Check-off List** Chair signed _____

_____ **Form T3 – Tenure Data Sheet-** Please put student evaluations and grade distributions reports in chronological order, starting with the most recent.

Student Evaluations- include evaluations for all classes taught in the last five (5) years or since initial employment (whichever is the shorter period).

Dated: _____

Grade Distribution Reports- include reports for all classes taught in the last five (5) years or since initial employment.

Dated: _____

_____ **Form T4 – Agreement on Responsibilities-** from the last 5 years or since initial employment

Dated: _____

_____ **Form T5 – Faculty Annual Report-** from the last 5 years or since initial employment

Dated: _____

_____ **Form T6 – Letter to Eligible Faculty Member**

_____ **Letter from the Departmental Chairperson** in response to [Form T8](#) (if such a letter was submitted to the tenure committee chairperson)

_____ **Report on the dossier-** signed and dated by the Committee Chairperson. (See item III.H of the [Tenure Procedures and Forms](#) List and **Form T13**.)

_____ **Form T16 – Ballots** (The bottom portion of each ballot must be included.)

_____ **Summary of the discussion** at the meeting of the peers and compilation of the evaluations from the ballots (See item [III.K](#) and [Forms T16, T17, and T18](#).)

_____ **Form T17 – Letter to Candidate Transmitting Vote**

_____ **Other Relevant Information (as appendix with table of contents page)**

Last revised: August 25, 2017

Checklist of Required Items for Tenure and Promotion and Preferred Order in Dossier(s)

Name (incl. Title): _____ Dept.: _____
 Present Rank: _____ Proposed Rank: _____
 Date of Employment: _____ Rank Assigned: _____

Vote of Peers:

Tenure	Do not Tenure	Not Voting	Total
Promote	Do not Promote	Not Voting	Total

Number of Qualified Peers: T ___ P ___

Committee Chairperson(s): T _____ P _____

CHECK THAT THE CORRECT FORMS ARE USED: ONLY NEW POLICY FORMS ARE ACCEPTABLE. Forms can be found [HERE](#).

_____ **Forms T18, P18 – Tenure/Promotion Cover sheets**

Dated and initialed T___ P___ List of peers attached T___ P___

_____ **Forms T1, P1 – Flow & Check-off Lists** Dated and initialed T ___ P___

_____ **Forms T2, P1 – Tenure/Promotion Consideration Check-off Lists** Chair signed T___ P___

_____ **Forms T3, P3 – Tenure/Promotion Data Sheets-** Please put student evaluations and grade distributions reports in chronological order, starting with the most recent.

Student Evaluations- include evaluations for all classes taught in the last five (5) years or since initial employment (whichever is the shorter period).*

Dated: _____

Grade Distribution Reports- include reports for all classes taught in the last five (5) years or since initial employment.*

Dated: _____

_____ **Form T4/P4 – Agreement on Responsibilities-** from the last 5 years or since initial employment *

Dated: _____

_____ **Form T5/P5 – Faculty Annual Report-** from the last 5 years or since initial employment*

Dated: _____

_____ **Forms T6, P6 – Letter to Eligible Faculty Member**

_____ **Letters from the Departmental Chairperson** in response to [Form T8](#) and [Form P8](#), if such letters were submitted to the tenure and/or promotion committee chairperson(s).

_____ **Report(s) on the dossier** signed and dated by the Committee Chairperson(s). (See item III.H of the [Tenure Procedures and Forms](#) List and **Form T13, P14**.) If there is one chair for T & P, only one report is required.

_____ **Forms T16, P16 – Ballots** The bottom portion of each ballot for both the Tenure vote and Promotion vote must be included (2 sets of ballots).

_____ **Summary of the discussions** at the meetings of the peers and compilation of the evaluations from the ballots (See item [III.K](#) and [Forms T16, T17, and T18](#), [Forms P16, P17, and P18](#))

_____ **Forms T17, P17 – Letters to Candidate Transmitting Votes** Include one letter for each or a combined letter in the event of a single committee chairperson.

[Other Relevant Information \(as appendix with table of contents page\)](#)

* Only one set of each required for both Tenure and Promotion.

Policy No: 206

Policy Name: Faculty Promotion

I. Introduction Purpose

Promotion in academic rank is recognition of past achievement of the faculty member being considered for promotion. In addition, promotion in rank is usually recognition of future potential and a sign of confidence that the individual is capable of greater accomplishments and of assuming greater responsibilities. It is the policy of Tennessee Technological University to make promotions primarily on considerations of merit, tempered by considerations of institutional mission and fiscal responsibility. In maintaining this policy, promotions are made objectively, equitably, impartially, and as recognition of merit in accordance with the criteria contained in this policy.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Provost with recommendations for revision reviewed by the Faculty Senate and approved by the Academic Council, Administrative Council and University Assembly.

H.III. Definitions

For the purpose of this policy, teaching, research/scholarship/creative activity, and service/outreach will be defined as follows:

A. Teaching

Teaching applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, mentoring, development of course materials or courseware, and development of innovative approaches to instruction.

B. Research/Scholarship/Creative Activity

Research/scholarship/creative activity applies to the studious inquiry, examination or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship/creative activity may include, but is not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, creative activities (e.g., film-making, performances, or other artistic creations), and the development of innovative approaches to teaching (pedagogical research).

C. Service/Outreach

Service/outreach applies to involvement within the community as defined by the University's role and mission; service to the University; and service within the bounds of the applicant's academic discipline and budgeted assignment.

A more detailed description of these activities and the criteria to be applied in assessing performance in these three areas may be found in Section ~~IV-VI~~ of the Tennessee Technological University Policy ~~205 - on Academic Tenure~~ and in Section ~~VII-VIII~~ of this policy on Faculty Promotion.

~~III~~.IV. Evaluation Process

[Promotion Procedures and Forms](https://policies.tbr.edu/policies/faculty-promotion-universities) covers the evaluation process for faculty promotion. ~~as required in Section III. of Board Policy 5:02:02:20 https://policies.tbr.edu/policies/faculty-promotion-universities by the TTU Board of Trustees.~~

~~IV~~.V. Academic Ranks

The importance of the criteria for a recommendation for appointment to or promotion in academic rank depend upon the nature, mission, and goals of the University and of the academic department/unit in which the candidate is to obtain appointment or promotion. Recommendations for appointment or promotion, subject to the requirements of this policy, shall devolve from the professional judgment of the peers in the academic department/unit in which the candidate is to obtain appointment or promotion, those departmental/unit peers acting as that segment of the wider community of scholars best qualified to evaluate the potential or actual performance of the candidate in the exercise of his/her professional responsibilities.

All full-time faculty members are expected to engage in teaching, research/scholarship/ creative activity, and service/outreach, but not all are expected to engage in each activity to the same degree. The mission statement of Tennessee Technological University clearly accords the highest priority to teaching, followed by research/scholarship/creative activity and service/outreach, in that order. However, there is a wide variation in individual academic unit missions and priorities. Even within units, faculty assignments may vary substantially with workload assignments and considerations of faculty abilities, interests and University needs. Because individual priorities, workloads, the level and quality of support services and facilities, disciplinary characteristics, and faculty capabilities and interests are all subject to wide variation within the University, an effective system for evaluating potential or performance must be based upon the professional judgment of the faculty members in the candidate's academic department/unit.

The departmental/unit peers shall evaluate the appropriateness of the candidate's training, degrees, and prior professional experience. Equivalent prior professional experience may include relevant instructional experience, experience as an administrator, counselor, librarian, or the like. In evaluating prior professional experience, the President shall determine, upon the

recommendation of the departmental/unit peers, whether prior service at another institution shall be accepted entirely, or shall be discounted in whole or in part.

The following are criteria that distinguish between academic tenurable ranks:

A. Instructor

- ~~1. Master's degree in the instructional discipline or related area. Evidence of potential ability in teaching and/or research/scholarship/creative activity and/or service/outreach.~~
- ~~2. Potential ability in teaching and/or research/scholarship/creative activity and/or service/outreach. Minimum of a Master's degree from an accredited institution in the instructional discipline or related area.~~
3. Evidence of good character, mature attitude, and professional integrity.

B. Senior Instructor

1. Documented evidence of ability in teaching and/or research/scholarship/creative activity and/or service/outreach.
2. Completion of five full academic years at the rank of instructor at the end of the academic year during which the faculty member is applying for promotion to senior instructor.
3. Documented evidence of high quality professional productivity which may lead to national recognition in the academic discipline, and/or consonant with the goals of the university and of the academic unit to which the faculty member belongs.
4. Minimum of a Master's degree from an accredited institution in the instructional discipline or related area.
5. Evidence of good character, mature attitude, and professional integrity.

C. Master Instructor

1. Documented evidence of teaching excellence and superior contribution to student development or superior scholarly or creative activity will contribute to the positive record of the candidate for advancement to the rank of Master Instructor. Since there is no higher rank as an Instructor, promotion to Master Instructor is taken with great care and requires a level of achievement beyond that required for Senior Instructor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.
2. Completion of five full academic years at the rank of senior instructor at the end of the academic year during which the faculty member is applying for promotion to master instructor.

3. Documented evidence of sustained high quality professional productivity and national recognition in the academic discipline or sustained high quality professional productivity in the academic discipline that is consonant with the goals of the university and of the academic unit to which the faculty member belongs.

4. Minimum of a Master's degree from an accredited institution in the instructional discipline or related area.

5. Evidence of good character, mature attitude, and professional integrity.

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DB. Assistant Professor

1. Earned doctorate or terminal degree from an accredited institution in the instructional discipline or related area.
2. Evidence of potential ability in teaching and/or research/scholarship/creative activity and/or service/outreach.
3. Evidence of good character, mature attitude, and professional integrity.

EC. Associate Professor

1. Earned doctorate or terminal degree from an accredited institution in the instructional discipline or related field.
2. Completion of five full academic years at the rank of assistant professor at the end of the academic year during which the faculty member is applying for promotion to associate professor.
3. Documented evidence of ability in teaching and/or research/scholarship/creative activity and/or service/outreach.
4. Documented evidence of high quality professional activity which may lead to national recognition in the academic discipline, and/or professional activity consonant with the goals of the University and of the academic department/unit to which the faculty member belongs.
5. Evidence of good character, mature attitude, and professional integrity.

FD. Professor

1. Earned doctorate or terminal degree from an accredited institution in the instructional discipline or related field.

2. Completion of five full academic years at the rank of associate professor at the end of the academic year during which the faculty member is applying for promotion to full professor.
3. Documented evidence of teaching excellence and superior contribution to student development or superior research/scholarship/creative activity will contribute to the positive record of the candidate for advancement to the rank of professor. Since there is no higher rank, promotion to professor is taken with great care and requires a level of achievement beyond that required for associate professor. Promotion to professor is not a reward for longevity; more exactly it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the University and the larger academic community.
4. Documented evidence of sustained high quality professional productivity and national recognition in the academic discipline or sustained high quality professional productivity in the academic discipline that is consonant with the goals of the University and of the academic department/unit to which the faculty member belongs.
5. Evidence of good character, mature attitude, professional integrity, and a high degree of academic maturity and responsibility.

The following are criteria that distinguish between academic non-tenurable ranks:

G. Lecturer

1. Demonstrated ability in instruction and student development (defined below).
2. Minimum of a Master's degree from an accredited institution in the instructional discipline or related area.
3. Evidence of good character, mature attitude, and professional integrity.

H. Senior Lecturer

1. Documented evidence of high quality teaching and contribution to student development.
2. Completion of five full academic years at the rank of lecturer at the end of the academic year during which the faculty member is applying for promotion to senior lecturer.
3. Minimum of a Master's degree from an accredited institution in the instructional discipline or related area.
4. Evidence of good character, mature attitude, and professional integrity.

I. Master Lecturer

1. Documented evidence of teaching excellence and superior contribution to student development.
2. Completion of five full academic years at the rank of senior lecturer at the end of the academic year during which the faculty member is applying for promotion to master lecturer.
3. Minimum of a Master's degree from an accredited institution in the instructional discipline or related area.
4. Evidence of good character, mature attitude, professional integrity and a high degree of academic maturity and responsibility.

Student Development: Development of values, identity and sense of self and purpose which can be accomplished through acquisition of knowledge, student organization involvement, service-learning, and undergraduate research, as well as discussions of the moral dilemmas in a chosen profession. Proper student development occurs in a creative supportive environment both inside and outside the classroom and fosters holistic student growth.

Those who hold rank as Lecturer, Senior Lecturer or Master Lecturer are those whose responsibilities primarily involve teaching, however, in some cases, these faculty may have minor responsibilities in research/scholarship/creative activities and/or service/outreach. Lecturers are not eligible for tenure.

V.VI. Exceptions To Minimum Rank Qualifications

The minimum rank qualifications should be met in every recommendation regarding appointment to academic rank and for promotion in academic rank. Exceptions to the minimum rank qualifications can be recommended by the departmental/unit peers and by the President of the University; however, such exceptions are not favored and should be granted only upon a showing of a candidate's exceptional merit and/or other extraordinary circumstances, such as an objective need to deviate from these minimum qualifications in filling positions and/or retaining otherwise qualified faculty within certain academic disciplines.

Petitions for exceptions to promotional criteria may include consideration of the appropriateness of the degree or extraordinary qualities that the candidate may possess. The equivalent work experience credit may include relevant teaching experience or other experiences such as experience gained as an administrator, counselor, librarian, or the like. When evaluating college level instruction, research/scholarship/creative activities, and service/outreach, the university may make its own determination whether or not the number of years of experience from another university is to be accepted in total or discounted in some manner.

V.VII. Terminal Degree Designation

The Board uses national discipline standards to determine which degrees are considered to be “terminal” within a discipline. The University may request blanket exceptions to these standards by classification based upon the University’s mission and hiring practice. The University may also petition the Board for “equivalent work experience credit” when a candidate has not obtained a terminal degree, but has a record of extraordinary achievement in a given field. The equivalent work experience credit may include relevant teaching experience or other related experiences.

Degrees considered terminal by the TTU Board of Regents-Trustees include:

Doctorates:

- Ph.D.
- Ed.D.
- D.A.

Masters:

- M.F.A. (Studio Art, Creative Writing)
- M.L.S. (Master’s in Library Science)
- M.M. (Certain specialties in music)
- Master’s of Engineering or Master’s with major in Engineering (Engineering Technology, University Level)

NOTE: National practice does not recognize the J.D. as a doctorate.

VII.VIII. Promotion Criteria

All full-time faculty members are expected to engage in teaching, research/scholarship/ creative activity, and service/outreach, but not all are expected to engage in each activity to the same degree nor is each individual expected to be engaged in all aspects of each activity. It must further be noted that some overlap among these related activities is to be expected. The departmental/unit peers have the primary responsibility for evaluating the quality of faculty performance relative to appointment to or promotion in academic rank.

The following descriptions of these professional activities shall be used as general guidelines in evaluating a candidate's potential (in cases of appointment) or performance (in cases of promotion).

A. Teaching

Teaching may consist of a combination of the following professional activities:

1. Classroom, on-line, and laboratory teaching of credit courses and seminars, including preparation and delivery of lectures, conduct of classes, supervising laboratory work, evaluation of students, and conferences with students regarding coursework. This activity may be conducted on a team basis.

2. Individual instruction, including (a) directed individual studies, i.e., credit instruction on an informal individual basis; (b) private lessons, e.g., private music lessons; (c) supervision of student interns, such as students enrolled in a practicum, practice teaching, or work experience courses, and cooperative education students, including evaluation of student progress, conduct of seminars and critique sessions, and counseling of students; (d) thesis and dissertation supervision, including service as a member or chair of graduate committees; and (e) clinical teaching, as in a health-related field.
 3. Academic advisement, including informal counseling with students on academic course or program selection and scheduling, and other matters related to academic progress.
 4. Course materials, curriculum, and teaching methodology development, such as development of new approaches, improvement of teaching materials, experimentation with teaching methodologies and assessment methods, and development of structure, content, and sequence of courses.
 5. Non-credit instruction in professional non-credit continuing education programs and development of professional instruction programs, which may be on an assigned or overload basis.
 6. For librarians, instruction is to be equated with the performance of professional library responsibilities.
 7. Faculty development, i.e., formal and informal activities primarily directed to maintaining and enhancing faculty teaching capabilities.
- B. Research/Scholarship/Creative Activity
- Research/scholarship/creative activity includes those professional activities designed to discover, create, or disseminate greater knowledge, appreciation, or understanding of an academic discipline, including, but not limited to:
1. Pure research: seeking new knowledge, investigating realms not covered by current understanding or challenging current understanding.
 2. Applied research: the application of known methods or theories to specific circumstances.
 3. Pedagogical research: the development of pedagogical techniques and the application in the classroom or laboratory, that furthers the dissemination of knowledge.
 4. Artistic creativity and performance: the creation and exhibition of works of art or crafts, or the composition and/or performance of plays, music, etc.

5. Faculty development: formal and informal activities primarily directed to maintain and enhance faculty research, scholarship, or creative capabilities or performance.

Evaluation of the candidate's research/scholarship/creative activity should stress the quality of the documented work, and should be based on the professional judgment of peers in the discipline. Documentation of these activities should manifest ability in the candidate's discipline. Some methods of documenting this evaluation include, but are not limited to, publication of articles in refereed journals, publication of books by recognized presses, proprietary research, production of juried artistic works, presentation of refereed papers at professional meetings, obtaining competitive grants from professional agencies, or similar means.

C. Service/Outreach

Service/outreach includes those activities undertaken in service to the community, the University, the higher education profession as a whole, and the faculty member's academic discipline, including:

1. Service to students unrelated to credit instruction, such as sponsoring student organizations and extracurricular activities, and non-assigned tutorial instruction to enhance the academic skills of students.
2. Service to the University, such as service on departmental, college, and University committees, assignments involving student recruitment, institutional development, public relations, and consultation with University offices.
3. Service to scholarly and professional organizations, including participation in such organizations as a member, officer, or committee member, as a member of an editorial board of a scholarly or professional organization, or service to accrediting organizations and agencies.
4. Service to the community, industry, or government, including (a) professional service, i.e., service directly related to the professional expertise of the faculty member, including consulting activities whether for compensation or not; and (b) other contributions to the cultural environment of the community, such as service as an officer or member of boards or committees, service to non-profit charitable organizations, or to governmental agencies.
5. Faculty development, i.e., formal and informal activities primarily directed to maintaining and enhancing faculty capabilities in public and professional service.

D. General Process Guidelines at University Level

So that the decision process can be as objective as possible, each recommendation (forwarded from the academic department/unit to a higher administrative level in the University) should be accompanied by complete and careful documentation of the candidate's teaching performance, and/or research/scholarship/creative activity, and/or

service/outreach contributions. Although the areas of teaching, research/scholarship/creative activity, and service/outreach are all considered important, certain exceptions may exist where evaluation may occur in one or the other area exclusively. In these cases, as well as in the general case, appropriate supervisory personnel shall clearly and adequately document the facts that justify the individual's promotion. The initiating academic department/unit may, if deemed desirable, include information relative to the candidate's research/scholarship/creative activity, publication record, exceptional administrative performance, or other types of contributions. The University may use additional procedures with approval of the ~~Tennessee Board of Regents~~.

E. General Process Guidelines at Board Level

The President of the University should forward a list of promotional recommendations to the ~~Chancellor for his/her Board for~~ review. ~~The Chancellor's recommendation will be forwarded to the Committee on Personnel and the Committee's recommendation forwarded to the Board.~~

F. Appeals of Promotion Decisions

Should a faculty member be dissatisfied with the decision respecting his/her promotion at any point in the promotion process, up to, but not including the recommendation of the President to the ~~Chancellor/Board~~, he/she may appeal that decision through the Faculty Affairs Committee, and/or the Tennessee Technological University Grievance Policy or a committee specifically empowered by the President to handle such appeals. Should a faculty member be dissatisfied with the decision respecting his/her promotion made by the President ~~or the Chancellor~~, he/she may appeal to the ~~next level, culminating in the~~ Board.

Promotion Procedures and Forms List

I. Reference Documents

[TBR Guidelines for Faculty Promotion Recommendations](#)
[TTU Policy 206 – Faculty Promotion](#)

II. Purpose

The promotion forms are intended to facilitate and systematize promotion recommendation procedures on a university-wide basis. Although the departmental/unit promotion committee chairperson is the principal administrative agent who uses most of these forms, uniform procedural integrity cannot be achieved unless careful adherence to their contextual provisions is respected at all administrative levels. If non-substantive errors are made in the record-keeping portion of the procedures (such as failure to initial action taken, misreporting of the number of peers, etc.) or if further clarification is required, these errors may be corrected or clarifications made at any level of review without impacting the timeline for review.

III. Departmental/Unit Level Guidelines

These procedures are designed for normal use in an academic department/unit in the case of a [tenured or tenure-track](#) candidate for promotion who is not the departmental/unit chairperson; however, if a departmental/unit chairperson is a candidate for promotion, he/she shall be omitted from the administrative chain, and the dean of the college shall perform all recommendation duties normally performed by the departmental/unit chairperson. In the latter case, all form letters would be sent, not from the departmental/unit office, but from the dean's office and in the name of the chairperson of the departmental/unit promotion committee. Likewise, in an academic division of the University designated by some name other than "department" or "unit," the director of that division shall fulfill the role of the departmental/unit chairperson as elaborated in these forms (and if the director is a candidate, then the role is assumed by the person to whom he/she reports at the next higher administrative level). The administrative head of the library shall likewise perform all responsibilities assigned to a departmental/unit chairperson and shall then submit the candidate's dossier directly to the Vice President for Academic Affairs.

Under these procedures, a consideration for promotion should progress as follows [for tenure or tenure-track faculty](#):

- A. ~~Beginning with the appointment of the faculty member to a full-time position, the departmental/unit chairperson shall generate or cause to be generated copies of the following documents: Agreement on Responsibilities (Form P4-15) for each calendar year, Faculty Annual Reports (Form P5-05) for each year, student evaluations (using an approved University instrument) for at least one term each year (in all classes) for each of the previous four years or from initial appointment, whichever is the shorter period, and grade distributions (showing the course average against the students' average) for~~

~~the terms in which the student evaluations submitted were conducted. This information is already supplied elsewhere and thus can be deleted.~~

~~B.~~ A. Early in the fall term, the departmental/unit chairperson shall determine whether any member of the department/unit will complete the requisite number of years of appropriate professional experience by the end of that academic year and wishes to be considered for promotion, utilizing Form P6-05. If so, the departmental/unit chairperson shall complete Form P2-05 and shall call a meeting no later than September 15 of all departmental/unit peers (as defined in [Academic Tenure](#), Section II,H). who hold rank equal to or higher than that for which the faculty member is a candidate. The departmental/unit chairperson shall compile a list of departmental/unit peers qualified to vote and make this list available where appropriate. This body of departmental/unit peers shall vote to determine whether it wishes to act as a committee of the whole or to establish a departmental/unit promotion committee to conduct the promotion procedures. Whether consisting of all qualified departmental/unit peers, of a smaller number of qualified departmental/unit peers acting as a separate committee, or of qualified departmental/unit peers and others as provided in paragraph ~~C-B~~ below, the promotion committee shall consist of no fewer than five persons, except in departments/units where the total number of full-time faculty members is five or fewer, or where there are no departmental/unit peers who hold rank equal to or higher than that for which the faculty member is a candidate, in which case the committee may consist of three persons.

~~C-B.~~ C. In the event that there be fewer than five individuals in the department/unit who meet the definition of departmental/unit peers who hold rank equal to or higher than that for which the faculty member is a candidate, the departmental/unit promotion committee must be expanded to include either individuals outside the department/unit who do meet the above criteria, or members of the department/unit who do not meet all those criteria, and who shall be considered peers for all purposes of this process. Members of the department/unit who do not meet the above criteria should normally be selected before individuals outside the department/unit. The selection of these additional members of the promotion committee shall be done by those members of the department/unit who do meet all stated criteria, in consultation with the departmental/ unit chairperson, at the meeting stipulated in paragraph B above. In the event that there be no departmental/unit peers who hold rank equal to or higher than that for which the faculty member is a candidate, the departmental/unit chairperson, in consultation with the dean of the college, the candidate, and the entire departmental/unit faculty, shall select a promotion committee of no fewer than three appropriate members of the University faculty, including at least one-third of its members from the candidate's department/unit and at least one-third of its members from the University faculty who hold rank equal to or higher than that for which the faculty member is a candidate.

~~D-C.~~ D. Even when there are five or more departmental/unit peers who meet all the required criteria for membership on the promotion committee, it may be desirable to incorporate into that committee either non-departmental/unit members or members of the department/unit who do not meet all required criteria. It may also be desirable to incorporate (using some objective criterion) into the plenum of peers voting at the

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meeting discussed in paragraph ~~j~~. below, members of the department/unit who do not meet all required criteria. This flexibility shall be left to the professional judgment of those members of the department/unit who do meet all required criteria, acting in consultation with the departmental/unit chairperson. This decision shall be made at the meeting stipulated in paragraph ~~A~~B above.

~~E~~.D. Once constituted, the promotion committee shall elect its own chairperson who shall not be the departmental/unit chairperson.

~~F~~.E. The departmental/unit chairperson shall not vote with the departmental/unit peers and shall not be counted in determining the plenum on which a majority is to be determined, but may submit material to the faculty member's promotion dossier in response to Form P8-05, and may participate in the meeting at which the recommendation of the peers is determined, as provided in paragraph ~~J~~I below.

~~G~~.F. After the departmental/unit promotion committee has been established and its chairperson selected, responsibility for directing the process transfers to the chairperson of the departmental/unit promotion committee. This committee is an agent of the departmental/unit peers, gathering and summarizing information.

~~H~~.G. The chairperson of the departmental/unit promotion committee shall ensure that the candidate's promotion dossier is properly assembled and shall send the letters listed on Forms P7-05 through P13-05, as appropriate, enclosing copies of Forms P4-15 and P14-05, and ensure that responses to these letters are included in the dossier. (Forms P7-05, P8-05, P9-05, P10-05, P11-05, P12-05, and P13-05 may be sent via electronic mail; however, if electronic mail is used, recipients must be advised that their responses cannot be received by electronic mail but must be supplied on paper with original signature.) When all appropriate materials have been gathered into the dossier, the chairperson of the departmental/unit promotion committee, in consultation with the members of the committee, shall prepare a report synthesizing the materials in the dossier using the format supplied in Form P14-05. The consultation with the members of the committee may take place informally; a meeting is not required.

~~I~~.H. No evaluation and/or recommendation shall be submitted by peers (either within or without one's department/unit) or administrators who are members of the candidate's immediate family. ("Members of the family" shall include spouse, domestic partner, cohabitant, child, stepchild, grandchild, parent, stepparent, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, great grandparent, brother, sister, half-brother, half-sister, stepsibling, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, or first cousin (that is, a child of an aunt or uncle). ~~is here defined as spouse, parent, grandparent, son, daughter, sibling, parent in law, son in law, daughter in law, brother in law, and sister in law.~~)

Commented [BJ1]: Added by TTU Academic Affairs. This definition is consistent with Policy 205 – Faculty Tenure.

~~J~~.I. The chairperson of the promotion committee will then send the letters inviting the peers (Form P15-05) and the departmental/unit chairperson and other members of the department/unit to review the dossier, and scheduling a meeting for a discussion of the

merits of the candidate and a secret ballot which will determine which type of recommendation the peers wish to make concerning the promotion of the candidate. (Form P15-05 and other notifications may be sent by electronic mail.) At the departmental/unit meeting, the qualifications of the candidate should be candidly and professionally discussed. The candidate will not be present at this meeting. The departmental/unit chairperson and all non-peer members of the department/unit may participate in the initial phases of this discussion, sharing with the peers their professional judgment concerning the materials submitted to the dossier. At an agreed upon point, the departmental/unit chairperson and non-peers shall withdraw from the meeting, after which discussion may continue. Then, the chairperson of the departmental/unit promotion committee shall conduct the vote by secret ballot, utilizing the ballot provided at the bottom of Form P16-05. In this vote, peers who, for compelling professional (such as leave-of-absence or attendance at professional meetings) or personal (such as hospitalization, being snow-bound) reasons cannot be physically present at the meeting may submit to the chairperson of the promotion committee an absentee vote. This privilege should not be lightly invoked, and shall not be extended to peers who are able to be physically present, inasmuch as participation in the discussion of the merits of the candidate is a significant element in the decision-making process. Should a peer who cannot be present at the meeting due to compelling professional or personal reasons believe that his/her absence destroys his/her ability to render a professional judgment, he/she may so inform the chairperson of the promotion committee in writing, in which case the absent peer shall not vote and shall not be counted in determining the plenum on which a majority is to be determined. Following the vote, each peer present shall complete an anonymous evaluation, utilizing the top portion of Form P16-05, giving reasons for his/her vote. Voting is not a choice, but an obligation. Failure to vote counts as a negative vote.

K.J. The chairperson of the promotion committee shall then summarize the discussion held at the meeting and compile the results of the evaluations on the upper portions of Form P16-05. Under the direction of the chairperson of the promotion committee, and with no person other than he/she and the typist having access to the forms, all the written comments on the upper portions of Form P16-05 shall be typed on another sheet of paper and included as part of this compilation. The forms containing handwritten comments shall then be detached from the ballots on the lower part of Form P16-05 and shall be destroyed. Copies of this summary and compilation shall be sent to the candidate with Form P17-05, and shall be included with the ballots and the results of the vote in the promotion dossier. The chairperson of the promotion committee shall then initiate Form P18-05 and transmit the entire dossier to the departmental/unit chairperson by November 21.

L.K. When the departmental/unit chairperson receives the promotion dossier with the recommendation (as expressed in their vote) of the departmental/unit peers from the departmental/unit promotion committee, he/she shall record his/her recommendation on Form P18-05. If his/her recommendation agrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall transmit the complete promotion dossier to the dean. If his/her recommendation disagrees with the recommendation as

expressed in the vote of the departmental/unit peers, he/she shall write a letter to the departmental/unit peers explaining why he/she disagrees with their vote, transmit a copy of the letter to the faculty member being considered for promotion and to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, add a copy of the letter to the promotion dossier, and transmit the complete promotion dossier to the dean by January 10.

M-L. When the Board has taken action, the departmental/unit chairperson shall return to the candidate the portion of the promotion dossier which can be reassembled, such as publications, computer programs, and slides. The departmental/unit chairperson shall file the remainder of the dossier in the departmental/unit files and retain it for a period of five years from the time of Board action.

Lecturer rank faculty:

M. Three-Year Contract Periods. A Lecturer is evaluated annually by the Department Chair in the same manner as other faculty members in the department. Lecturers are hired on a three-year contract. However, just as in the case of tenure-track faculty, and only for just cause, the contract can be cancelled with 30 day notice. Early in the spring semester of the first year of the contract period (as well as annually thereafter), a lecturer turns in a dossier for evaluation by the faculty. The dossier should be compiled and be consistent with Form P3. Notification to submit the dossier should be made by the Chair/Director by January 15 and the dossier should be submitted by February 15. The tenured faculty of the department provide comments as appropriate to their Agreement on Responsibilities using form LP (progress evaluation) to the Chair/Director. If an unsatisfactory progress evaluation results, the faculty member is put on probation. The chair/director counsels the faculty member in regards to the evaluation. In the second year of the three-year contract, the tenured faculty evaluate and in addition comment on renewal of the 3-year contract. If the recommendation of the faculty is "renew contract," at that time, and if the Department Chair/Director and Dean are in agreement, a new three-year contract is generated by Academic Affairs. If the recommendation of the faculty is "unsatisfactory" and "do not renew contract" and this was a probationary year, along with affirmation by the Chair/Director and Dean, the contract is not renewed and the faculty member has one year to seek alternative employment, otherwise, they are put on probation. If progress during year-three is a probationary year and is unsatisfactory, the faculty member is terminated at the end of that term. The faculty member is evaluated and counseled by the Department Chair/Director following each faculty evaluation. Any two successive "unsatisfactory progress" ratings results in non-renewal of a 3-year contract.

N. Promotion Consideration: Lecturers are eligible for consideration for promotion to Senior Lecturer in the second semester of the sixth year (the last year of the second contract period) of service as Lecturer. The promotion committee includes all tenured faculty, and any Senior or Master Lecturers with a minimum of three years of service at TTU. Up to three years prior service can be granted at the time of hire. Senior Lecturers are eligible for consideration for promotion to Master Lecturer in the second semester of

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the sixth year of service as Senior Lecturer. The promotion committee includes all tenured faculty, and any Master Lecturers with a minimum of three years of service at TTU. Eligibility for promotion consideration is determined with Form L2. The promotion dossier should be compiled and be consistent with Form P3. Notification to submit the dossier should be made by the Chair/Director by January 15 and the dossier should be submitted by February 15, if promotion consideration is desired. After the first eligibility of promotion is communicated to the candidate, it is up to them in the future to notify the chair they wish to be considered for promotion. The above listed department faculty provide comments as appropriate to their Agreement on Responsibilities using form LP (Promotion Evaluation) and make their recommendation to the Chair. The Chair then makes a recommendation concerning promotion to the Dean by March 1.

IV. List of Forms Used in the Promotion Process

- [Form P1-05](#) PROCEDURES FOR PROMOTION RECOMMENDATION FLOW AND CHECK-OFF LIST: This form serves as a check-off list, assuring uniform procedural integrity at all levels of evaluation. It is initiated by the departmental/unit chairperson. The person responsible for any given step should, in the spaces provided, initial and date that step at its completion.
- [Form P2-05](#) PROMOTION CONSIDERATION CHECK-OFF LIST: This form will be completed by the departmental/unit chairperson early in the fall term for all faculty members eligible for consideration. Space is provided at the end for the departmental/unit chairperson's signature and the date on which the check-off list is completed.
- [Form P3-05](#) PROMOTION DATA SHEET: This form ensures considerable uniformity in the gathering of information. The uniformity in format enables the departmental/unit peers, the departmental/unit chairperson, the dean of the college and the Vice President for Academic Affairs to focus on specific factors when comparison of two or more faculty members is necessary. It is suggested that the departmental/unit chairperson as a routine matter have such a form completed for everyone in the department/unit who is a potential candidate for promotion, and that the departmental/unit chairperson and the faculty member review this form each year as part of each faculty member's annual evaluation when he/she brings up to date the Agreement on Responsibilities (Form P4-15).
- [Form P4-15](#) AGREEMENT ON RESPONSIBILITIES: This form outlines the various responsibilities of the faculty member as mutually agreed upon by the faculty member and administrator to whom he/she immediately reports. Since this form sets forth those areas in which the faculty member expects to be evaluated, the relative weights must be taken into account by the departmental/unit peers, the departmental/unit chairperson, the

dean of the college, and the Vice President for Academic Affairs. Faculty members truly outstanding in one area but less active or successful in other areas may well be contributing more to the University than those adequate in all areas but outstanding in none.

Any faculty member whose duties require an unusual amount of professional activity not adequately covered in Form P4-15, or librarians who are judged on performance of professional responsibilities, should prepare a document which will describe the expected performance to allow clear evaluation in relation to assigned and expected responsibilities. This form (P4-15) provides useful supportive data, and copies of all such forms for the last four years or from the date of initial employment, whichever is the shorter period, must be part of the faculty member's dossier.

- [Form P5-05](#) FACULTY ANNUAL REPORT: This report is to be compiled for each academic year. The Promotion Data Sheet (Form P3-05) requires that this report for the four preceding years or from the date of initial employment be included in the candidate's dossier. The required format of the Faculty Annual Report is defined by each academic unit. Every faculty member is expected to prepare and file a Faculty Annual Report for each calendar year ~~term~~ he/she is employed at this University.
- [Form P6-05](#) FORM LETTER TO FACULTY MEMBER ELIGIBLE TO BE CONSIDERED FOR PROMOTION: This is the first step taken by the departmental/ unit chairperson after determining that a faculty member meets the requirements to be considered for promotion. It requests the compilation of the faculty member's promotion dossier which subsequently will be available to his/her departmental/unit peers for reference. The promotion dossier for each faculty member will include a Data Sheet (Form P3-05), Agreements on Responsibilities (Form P4-15) for the past four years or from the date of initial employment, whichever is the shorter period, Faculty Annual Reports (Form P5-05) for the past four years or from the date of initial employment, whichever is the shorter period, student evaluations (using an approved University instrument) for at least one term each year (in all classes) for each of the previous four years or since initial appointment, whichever is the shorter period, and grade distributions (showing the course average against the students' average) for the terms in which the submitted student evaluations are conducted. The faculty member is also invited to submit a list of individuals from outside the department/unit who will be solicited for evaluations to be added to his/her dossier (use Forms P10-05 to P13-05 as appropriate). The promotion dossier may include other relevant materials supplied by the faculty member.
- [Form P7-05](#) FORM LETTER TO PEER EVALUATOR REQUESTING INFORMATION FOR A FACULTY MEMBER'S PROMOTION DOSSIER: This form requests information which may be added to the dossier and must be sent to each departmental/unit peer.
- [Form P8-05](#) FORM LETTER TO THE CHAIRPERSON OF THE DEPARTMENT/ UNIT: This form requests that the departmental/unit chairperson submit relevant

information that may be available at the department/unit or college level that may be significant to the promotion decision of the peers. It requests information only, not evaluation.

- [Form P9-05](#) FORM LETTER TO THE ADMINISTRATOR TO WHOM THE FACULTY MEMBER IMMEDIATELY REPORTS: Since some faculty members report immediately to an administrator, such as a Director of a Center of Excellence, other than their departmental/unit chairperson, this form is to be used to request submissions to the promotion dossier from that administrator.
- [Form P10-05](#) FORM LETTER TO A NON-PEER EVALUATOR REQUESTING INFORMATION FOR A FACULTY MEMBER'S PROMOTION DOSSIER: This form is included for the convenience of the chairperson of the promotion committee in soliciting material from evaluators suggested by the candidate. It may be used for non-peer departmental/unit faculty members and non-departmental/unit evaluators (except for the off-campus evaluators required for promotion to the rank of full professor). Use of these evaluators is not explicitly required by the Policy. For off-campus evaluators required for the rank of full professor, use Form P11-05.
- [Form P11-05](#) FORM LETTER TO OFF-CAMPUS EVALUATOR OF CANDIDATE FOR PROMOTION TO RANK OF FULL PROFESSOR: This form letter will be used only for the faculty member being considered for the rank of full professor. Faculty will provide the names of 6-8 potential external reviewers, mutually agreed upon by the faculty member and the departmental/unit chairperson, along with their contact information and the nature of how they know the individual providing the review. The Departmental Promotion Committee will select 4-6 as reviewers. It is sent to The evaluators ~~at~~ must be at universities or appropriate institutions other than Tennessee Technological University, ~~these evaluators to be mutually agreed upon by the faculty member and the departmental/unit chairperson.~~ At least ~~three~~ four such evaluations must be included in the dossier. ~~(It may be helpful to submit more than the three required evaluations.)~~ The faculty member under review may request, in writing, that more than 4 letters be sent for external review.
- [Form P12-05](#) FORM LETTER TO FORMER STUDENT: This is not explicitly required by the Policy for candidates for promotion.
- [Form P13-05](#) FORM LETTER TO ADVISEE: Candidates for promotion must submit a list of advisees who will be invited by the chair of the promotion committee to submit letters to be included in the candidate's dossier.
- [Form P14-05](#) AREAS AND CRITERIA TO BE CONSIDERED WHEN EVALUATING A PEER FOR PROMOTION: This form summarizes the areas and criteria to be considered when making a promotion recommendation. A copy is to be included with all letters to all evaluators. This form also contains instructions to the promotion committee chair concerning the required Committee Summary of the Dossier.

Commented [BJ4]: This was previously presented as recommended by the TTU T&P Committee in Spring 2016.

Commented [BJ5]: Added for clarity.

- [Form P15-05](#) FORM LETTER TO DEPARTMENTAL/UNIT PEER EVALUATOR SCHEDULING A VOTE: The vote is to be conducted by secret ballot. The entire contents of the promotion dossier are available for inspection by the departmental/unit peers. Since the Policy on Faculty Promotion, Tennessee Technological University, states "Recommendations for ... promotion ... shall devolve from the professional judgment of the peers in the academic department/unit," this step may be the most significant one in the procedures for promotion recommendation. The chairperson of the promotion committee will send this form letter to all departmental/unit peers.
- [Form P16-05](#) PEER EVALUATION OF FACULTY FOR PROMOTION CONSIDERATION.
- [Form LP PEER EVALUATION OF LECTURER RANK FACULTY. This form is used to both evaluate lecturer rank faculty as well as make promotion recommendations.](#)
- [Form P17-05](#) FORM LETTER TRANSMITTING THE REPORT OF THE DEPARTMENTAL/UNIT PROMOTION COMMITTEE AND THE VOTE OF THE DEPARTMENTAL/UNIT PEERS TO THE FACULTY MEMBER WHO IS BEING CONSIDERED FOR PROMOTION
- [Form P18-05](#) PROMOTION COVER SHEET: The chairperson of the promotion committee initiates this form after the departmental/unit peers have voted. Form P18-05 should be the first document in the faculty member's dossier and should be dated and initialed at each step. The chairperson of the promotion committee places this form in the promotion dossier and transmits the entire promotion dossier to the departmental/unit chairperson.
- [PROMOTION DOSSIER CHECKLIST: This form is used to organize the promotion dossier in a uniform way.](#)
- [TENURE AND PROMOTION COMBINED DOSSIER CHECKLIST: This form is used to organize a combined dossier for both tenure and promotion.](#)

V. Dean of the College Guidelines

- A. The dean shall review the dossier (see Form P1-05, Item 4) and make a recommendation on the Promotion Cover Sheet (Form P18-05, Item 3). Committees at the college level are not authorized by these procedures.
- B. If the dean disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the departmental/unit peers explaining the reason(s) for his/her disagreement. He/she shall also forward a copy of the letter to the candidate for promotion, to the departmental/unit chairperson, and to the

administrator to whom the faculty member immediately reports if this is not the chairperson, and he/she shall include a copy of the letter in the promotion dossier.

- C. The dean shall forward the unabridged dossier to the Vice President for Academic Affairs by February 15 (see Form P1-05, Item 4).
- D. The dean shall perform all promotion recommendation duties normally performed by the departmental/unit chairperson if the chairperson is a candidate for promotion. (See the description of procedures given in Item III above.)

VI. Vice President for Academic Affairs Guidelines

- A. The Vice President for Academic Affairs shall review the dossier (see Form P1-05, Item 5) and make a recommendation on the Promotion Cover Sheet (Form P18-05, Item 3). Committees at the university level are not authorized by these procedures.
- B. If the Vice President for Academic Affairs disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the departmental/unit peers explaining the reason(s) for his/her disagreement. He/she shall also forward a copy of the letter to the candidate for promotion, to the departmental/unit chairperson, to the administrator to whom the faculty member immediately reports, if this is not the chairperson, and to the dean, and he/she shall include a copy of the letter in the promotion dossier.
- C. The Vice President for Academic Affairs shall forward the complete dossier with his/her recommendation to the President by March 15 (see Form P1-05, Item 5).

[Approved by the General Faculty Fall 1997; approved by the TBR Summer 2001. Editorially revised by the University Assembly April 25, 2001; Approved by the University Faculty April 27, 2005.]

Checklist of Required Items for Promotion and Preferred Order in Dossier

Name: _____ Dept.: _____

Present Rank: _____ Proposed Rank: _____

Date of Employment: _____ Rank Assigned: _____

Vote of Peers: _____ Promote _____ Do Not Promote _____ Not Voting _____ Total

Number of Qualified Peers: _____ Committee Chairperson: _____

CHECK THAT THE CORRECT FORMS ARE USED: ONLY NEW POLICY FORMS ARE ACCEPTABLE. Forms can be found [HERE](#).

_____ **Form P18 – Promotion Cover sheet** Dated and initialed _____ List of peers attached _____

_____ **Form P1 – Flow & Check-off List** Dated and initialed _____

_____ **Form P2 – Promotion Consideration Check-off List** Chair Signed _____

_____ **Form P3 – Promotion Data Sheet-** Please put student evaluations and grade distribution reports in chronological order, starting with the most recent.

Student Evaluations- include evaluations for all classes from at least one term each year for the last four years or since initial employment (whichever is the shorter period)

Dated: _____

Grade Distribution Reports- corresponding to the classes included in the student evaluations

Dated: _____

_____ **Form P4 – Agreement on Responsibilities-** from the last 4 years or since initial employment

Dated: _____

_____ **Form P5 – Faculty Annual Report-** from the last 4 years or since initial employment

Dated: _____

_____ **Form P6 – Letter to Eligible Faculty Member**

_____ **Letter from the Departmental Chairperson** in response to [Form P8](#) (if such a letter was submitted to the promotion committee chair)

_____ **Letters from Off-campus evaluators** in response to [Form P11](#)
(At least 3 required for promotion to **Professor**; not required otherwise.)

_____ **Report on the dossier-** signed and dated by the Committee Chairperson (See item III.H. of the [Promotion Procedures and Forms](#) List and **Form P14**.)

_____ **Form P16 – Ballots** (The bottom portion of each ballot must be included.)

_____ **Summary of the discussion** at the meeting of the peers and compilation of the evaluations from the ballots
(See item [III.K](#) and [Forms P16, P17, and P18](#))

_____ **Form P17 – Letter to Candidate Transmitting Vote**

Last revised: August 25, 2017

PREFERRED ORDER OF REQUIRED MATERIALS FOR TENURE AND PROMOTION DOSSIERS

EITHER TENURE OR PROMOTION

1. Form T18 / P18
2. Form T1 / P1
3. Form T2 / P2
4. Form T3 / P3 (incl. Student Evaluations & Grade Distribution Reports)
5. Form T4 / P4
6. Form T5 / P5
7. Form T6 / P6
8. Report on the Dossier
9. Form T16 / P16
10. Summary of the Discussion
11. Form T17 / P17
12. Letter from the Departmental Chairperson
13. Additional Items

TENURE AND PROMOTION

Combined Dossier

All forms and documents for both Tenure and Promotion will be in the same order as the list to the left. Where Tenure and Promotion have different requirements, the item must satisfy the greater requirements of Tenure.

For example: Student Evaluations & Grade Distributions

Separate Dossiers

The associated Tenure and Promotion forms should be included in the respective dossiers. Items that are relevant to both dossiers- student evaluations, grade distributions, etc.- should be included in the Tenure dossier and the location referenced in the Promotion dossier.

Items that are specific to either Tenure or Promotion- ballots, summary of discussion, etc.- should be included in the appropriate dossier.

Suggestions for Assembling Dossiers

The recommended method of presentation is with one (or two) 2" - 3" binders.

Clearly label each section so that the required documents and forms are easy for reviewers to find and reference.

Avoid placing multiple documents, such as student evaluations, in a single page protector so that they must be removed in order to be reviewed.

Avoid unnecessary duplication. Follow the guidelines in the right column when using two separate dossiers for Tenure and Promotion.

Use the Checklist of Required Items provided to ensure all appropriate documents and forms are included.

PROMOTION CONSIDERATION CHECK-OFF LIST

Name _____

Check-off list to determine whether faculty member meets the minimum requirements for consideration for promotion:

1. The faculty member holds a full-time appointment in one of the following academic ranks (see TTU Policy 206 - Faculty Promotion, Section V.)
 _____ a. instructor _____ b. senior instructor _____ c. master instructor

2. For promotion to instructor, the faculty member
 _____ Shows evidence of potential ability in teaching and/or research/scholarship/creative activity and/or service/outreach.;
 _____ Has a minimum of a Master's degree from an accredited institution in the instructional discipline or related area;
 _____ Shows evidence of good character, mature attitude, and professional integrity.

For promotion to senior instructor, the faculty member

- _____ Provides documented evidence of ability in teaching and/or research/scholarship/creative activity and/or service/outreach.;
 _____ Provides documented evidence of high quality professional productivity which may lead to national recognition in the academic discipline, and/or consonant with the goals of the university and of the academic unit to which the faculty member belongs;
 _____ Has a minimum of a Master's degree from an accredited institution in the instructional discipline or related area;
 _____ has completed five full academic years at the rank of instructor at the end of the academic year during which the faculty member is applying for promotion to senior instructor;
 _____ Shows evidence of good character, mature attitude, and professional integrity.

For promotion to master instructor, the faculty member

- _____ provides documented evidence of teaching excellence and superior contribution to student development or superior scholarly or creative activity will contribute to the positive record of the candidate for advancement to the rank of Master Instructor. Since there is no higher rank as an Instructor, promotion to Master Instructor is taken with great care and requires a level of achievement beyond that required for Senior Instructor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community;
 _____ provides documented evidence of sustained high quality professional productivity and national recognition in the academic discipline or sustained high quality professional productivity in the academic discipline that is consonant with the goals of the university and of the academic unit to which the faculty member belongs;

- _____ holds a minimum of a Master's degree from an accredited institution in the instructional discipline or related area;
- _____ has completed five full academic years at the rank of senior instructor at the end of the academic year during which the faculty member is applying for promotion to master instructor;
- _____ shows evidence of evidence of good character, mature attitude, and professional integrity.

_____ The faculty member has indicated in writing that he/she wishes to be considered for promotion.

_____ Exceptions to the above minimum rank qualifications may be made by recommendation of the President. If this candidacy represents a request for promotion by exception, check this item.

Completed by _____

Position _____ Date _____

PROMOTION CONSIDERATION CHECK-OFF LIST

Name _____

Check-off list to determine whether faculty member meets the minimum requirements for consideration for promotion:

1. The faculty member holds a full-time appointment in one of the following academic ranks (see TTU Policy 206 - Faculty Promotion, Section V.)
 a. lecturer b. senior lecturer c. master lecturer

2. For promotion to lecturer, the faculty member
 Demonstrated ability in instruction and student development;
 Has a minimum of a Master's degree from an accredited institution in the instructional discipline or related area;
 Shows evidence of good character, mature attitude, and professional integrity.

For promotion to senior lecturer, the faculty member

- Documented evidence of high quality teaching and contribution to student development;
- holds a minimum of a Master's degree from an accredited institution in the instructional discipline or related area;
- has completed five full academic years at the rank of lecturer at the end of the academic year during which the faculty member is applying for promotion to senior instructor;
- Shows evidence of good character, mature attitude, and professional integrity.

For promotion to master lecturer, the faculty member

- Documented evidence of teaching excellence and superior contribution to student development;
- holds a minimum of a Master's degree from an accredited institution in the instructional discipline or related area;
- has completed five full academic years at the rank of senior lecturer at the end of the academic year during which the faculty member is applying for promotion to master lecturer;
- Evidence of good character, mature attitude, professional integrity and a high degree of academic maturity and responsibility.

The faculty member has indicated in writing that he/she wishes to be considered for promotion.

Exceptions to the above minimum rank qualifications may be made by recommendation of the President. If so, check this item.

Completed by _____

Position _____ Date _____

PROCEDURES FOR PROMOTION RECOMMENDATION: FLOW AND CHECK-OFF LIST

Name _____

Instructions: This form is utilized for promotion consideration of tenured and tenure-track faculty and serves as a check-off list, assuring uniform procedural integrity at all levels of evaluation. It is initiated by the departmental/unit chairperson. The person responsible for any given step should, in the spaces provided, initial and date that step at its completion.

1. The departmental/unit chairperson

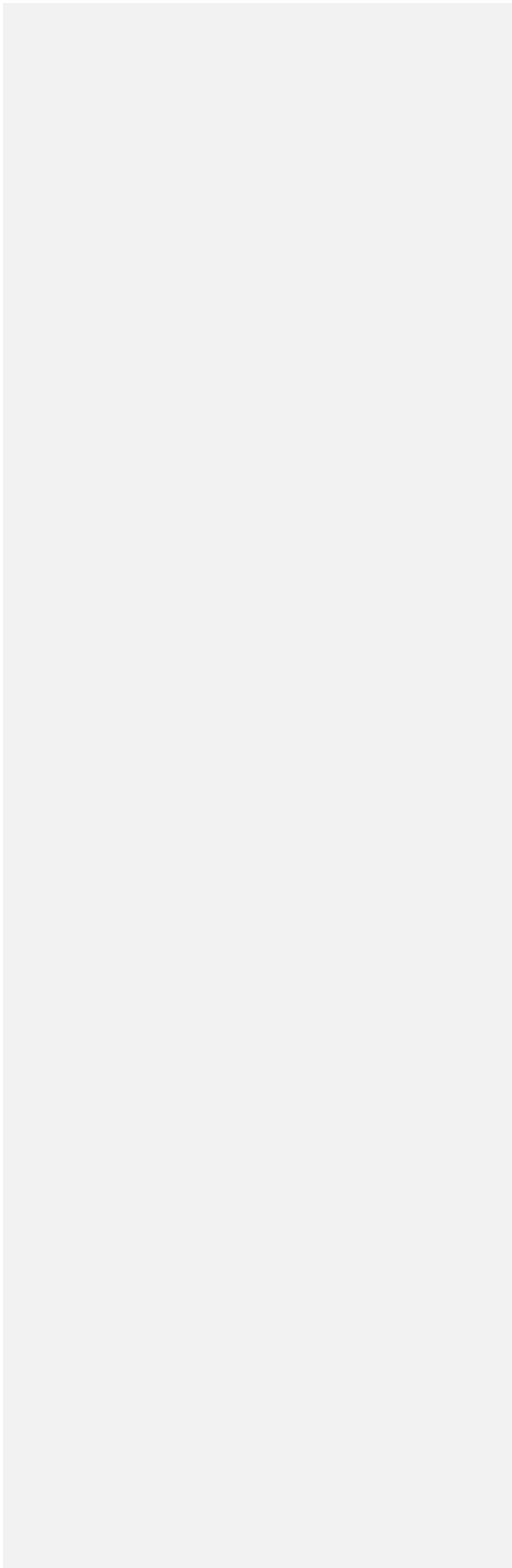
- ___ a. ~~Early in the fall term~~Prior to September 1, shall determine whether a faculty member, ~~not previously eligible, is has become~~ eligible to be considered for promotion by completing the appropriate form (Form P2 or ~~I2~~) ~~will notify those eligible no later than September 1~~ and ask those concerned to state in writing (use Form P6) whether they do or do not wish to be considered during the current academic year, unless the faculty member has previously indicated on Form P6 that he/she did not wish to be so notified. By means of the same letter, each faculty member who indicates he/she wishes to be considered also indicates he/she has been notified about the forms and procedures associated with the promotion process. Alternatively, a faculty member that was previously informed they were eligible for promotion shall submit Form P6a to the departmental/unit chair by September 7 to request promotion consideration during the current academic year.
- ___ b. Compile a list of departmental/unit peers qualified to vote and supply this list to the promotion committee chair.
- ___ c. Call a meeting by September 15 of the departmental/unit peers who hold rank equal to or higher than that for which the faculty member is a candidate, and determine the composition of the departmental/unit promotion committee.

2. The chairperson of the departmental/unit promotion committee shall

- ___ a. Solicit by letter all information requested by the candidate and provided for by these procedures.
- ___ b. Send letters to all departmental/unit peers requesting evaluative information for the candidate's promotion dossier. Should there not be five peers (not including the departmental/unit chairperson) in the department/unit to which the faculty member belongs, see Section ~~3III. eB.~~ of the Promotion Procedures and Forms List-2005 document.
- ___ c. In consultation with all the members of the committee, prepare a report on the contents of the promotion dossier and submit the report to the departmental/unit peers. Use Form P14.
- ___ d. Notify the departmental/unit peers by letter (Form P15) and the departmental/unit chairperson that the promotion dossier is complete, and arrange for a

Commented [BJ1]: This is redundant and already part of the letter (Form P6).

meeting at which the qualifications of the candidate will be discussed and the vote will be taken.



- ___ e. Determine, based on the vote of the departmental/unit peers, whether the faculty member is to be recommended for promotion, then initiate Form P18.
 - ___ f. Immediately transmit a copy of the departmental/unit promotion committee's report to the candidate and notify him/her of the vote of the departmental/unit peers. Use Form P17.
 - ___ g. After ensuring its completeness, forward the unabridged dossier to the departmental/unit chairperson by November 21.
3. ___ a. The departmental/unit chairperson shall review the dossier, ensure its completeness, make a recommendation using Form P18, and forward all the documents to the dean of the college by January 10.
- ___ b. If the departmental/unit chairperson disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to those peers informing them of the reasons for his/her decision. A copy of the letter shall be sent to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and to the candidate, and a copy of the letter shall be placed in the promotion dossier.
4. ___ a. The dean of the college shall review the dossier, make a recommendation using Form P18, and forward all the documents to the Vice President for Academic Affairs by February 15.
- ___ b. If the dean disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the peers informing them of the reasons for his/her decision. A copy of the letter shall be sent to the departmental/unit chairperson, to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and to the candidate, and a copy of the letter shall be placed in the promotion dossier.
5. ___ a. The Vice President for Academic Affairs shall review the dossier, make a recommendation using Form P18, and forward all the documents to the President by March 15.
- ___ b. If the Vice President for Academic Affairs disagrees with the recommendation as expressed in the vote of the departmental/unit peers, he/she shall write a letter to the peers informing them of the reasons for his/her decision. A copy of the letter shall be sent to the dean, to the departmental/unit chairperson, to the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and to the candidate, and a copy of the letter shall be placed in the promotion dossier.

6. The President shall

- ___ a. upon receipt of the dossier from the office of the Vice President for Academic Affairs, review Form P18, make a recommendation, and, not later than the last day of the academic year,
 - ___ (1) if the recommendation agrees with the vote of the departmental/unit peers and is affirmative, submit it to the ~~Tennessee~~-TTU Board of RegentsTrustees.
 - ___ (2) if it agrees with the vote of the departmental/unit peers and is negative, inform the candidate by letter of his/her decision.
 - ___ (3) if it disagrees with the vote of the departmental/unit peers and is negative, inform the candidate by letter of the reasons for his/her disagreement (with a copy to the Vice President for Academic Affairs, the dean, the departmental/unit chairperson, the administrator to whom the faculty member immediately reports, if other than the departmental/unit chairperson, and the peers).
 - ___ (4) if it disagrees with the vote of the departmental/unit peers and is positive, submit the recommendation to the TTU Board of RegentsTrustees.
- ___ b. for those candidates recommended to the Board for promotion, inform the candidate by letter of the action of the Board; and
- ___ c. return the completed dossier to the department. See III.3. L.m. of the Promotion Procedures and Forms List-2005 document.

PROMOTION CONSIDERATION CHECK-OFF LIST

Name _____

Check-off list to determine whether faculty member meets the minimum requirements for consideration for promotion:

1. The faculty member holds a full-time appointment in one of the following academic ranks (see TTU Policy 206 - on Faculty Promotion-2005, Section IVV.)
- _____ a. instructor _____ b. assistant professor _____ c. associate professor

2. For promotion to assistant professor, the faculty member
- _____ has an earned doctorate or terminal degree from an accredited institution in the instructional discipline or related area;
- _____ shows evidence of potential ability in teaching and/or research/scholarship and/or service/outreach;
- _____ shows evidence of good character, mature attitude, and professional integrity.

For promotion to associate professor, the faculty member

- _____ has an earned doctorate or terminal degree from an accredited institution in the instructional discipline or related field;
- _____ provides documented evidence of ability in teaching and/or research/scholarship/creative activity and/or service/outreach;
- _____ provides documented evidence of high quality professional activity which may lead to national recognition in the academic discipline, and/or professional activity consonant with the goals of the University and of the academic department/unit to which the faculty member belongs;
- _____ has completed five full academic years at the rank of assistant professor at the end of the academic year during which the faculty member is applying for promotion to associate professor;
- _____ shows evidence of good character, mature attitude, and professional integrity.

For promotion to professor, the faculty member

- _____ has an earned doctorate or terminal degree from an accredited institution in the instructional discipline or related field;
- _____ provides documented evidence of teaching excellence and superior contribution to student development or superior research/scholarship/creative activity;
- _____ provides documented evidence of sustained high quality professional productivity and national recognition in the academic discipline or sustained high quality professional productivity in the academic discipline that is consonant with the goals of the University and of the academic department/unit to which the faculty member belongs;
- _____ has completed five full academic years at the rank of associate professor at the end of the academic year during which the faculty member is applying for promotion to full professor;
- _____ shows evidence of good character, mature attitude, professional integrity, and a high degree of academic maturity and responsibility.

_____ The faculty member has indicated in writing that he/she wishes to be considered for promotion.

_____ Exceptions to the above minimum rank qualifications may be made by recommendation of the President. If this candidacy represents a request for promotion by exception, check this item.

Completed by _____

Position _____ Date _____

PROMOTION DATA SHEET

1. Name _____
(Last) (First) (Middle)

2. Date _____
(Month) (Day) (Year)

3. Present rank _____

4. Date present rank was assigned _____

5. Date first employed at TTU _____

6. Has service been continuous since appointment? yes ___ no ___

7. If employment has not been continuous, show how service has been broken. (For this and the following items, attach separate sheets if necessary.)

8. Curriculum Vita (to minimally include Education, Prior teaching experience, other professional experience, Presentations and Publications*, Honors and recognitions, Funding Endeavors/Status* and Consulting and professional activities*)

9. Student evaluations (most recent first)**

10. Grade distribution reports (most recent first)***

11. Form P4* (most recent first)

12. Form P5* (most recent first)

13. Other relevant information (this section may need its own Table of Contents which will vary from faculty to faculty) _____

Commented [BJ1]: This form has been modified for clarity and to provide continuity across campus. It is appropriate for professorial, instructor and lecturer ranks.

*For the last 5 years or from initial employment, whichever is the shorter period.

**For at least one term each year in all classes for each of the previous 5 years or from initial employment, whichever is the shorter period if Professorial or Instructor rank. For all courses if Lecturer rank or tenure-track.

***For all classes submitted for evaluation as part of the promotion process. See ** above.

**AGREEMENT ON RESPONSIBILITIES
Planning Document**

Faculty Member (Please print)

Department/Unit

Each faculty member and the administrator to whom he/she immediately reports shall determine in a cooperative fashion the activities and percentage of effort in each area of responsibility for the coming academic year. **Deadline to file: April 1st.***

Areas of Responsibility	% of Effort	Planned Activities	
		Fall 20__	Spring 20__
<p align="center">Teaching</p> <p>(Use number of courses, credit hours, and/or contact hours.)</p> <p>1. On Campus Teaching</p> <p>2. Off-Campus (Site) Teaching</p> <p>3. Online Teaching</p> <p>Normal teaching assignment per semester in this unit is: _____</p> <p>Any additional compensation: _____</p> <p>*If teaching in more than one department/unit on campus, please report the activities and percentage of effort in each department/unit separately.</p>		Comments:	Comments:
Advisement			
Research/Scholarship/Creative Activity			
Service/Outreach			
Administration			

Disclosure of outside employment

By University policy, faculty members must notify their chairpersons/supervisors of outside and/or extra assignments. These include not only off-campus employment but also overload teaching, both on- and off-campus. Please check the appropriate response below:

- ___ I have notified my supervisor of anticipated outside employment.
- ___ I do not anticipate undertaking outside employment during the Spring and Fall semesters covered by this Agreement on Responsibilities.

Changes will be noted on my annual activities report.

Signed _____ T# _____ Date _____
Faculty Member (Please sign)

Signed _____ Date _____
Administrator to whom he/she immediately reports

*Process and deadline: Forms should be completed and signed during the annual meeting between each faculty member and his/her chair or director. Copies should be filed in the departmental office and in the Office of Academic Affairs **by April 1st of each year**. Individual forms may be revised at any time by mutual consent of the faculty member and his/her department chair. Faculty members beginning their employment at TTU in January will complete two forms, one covering their first Spring semester and one covering the following Fall and Spring semesters. Faculty members beginning in August will complete the form to cover their first academic year.

Definitions:

Normal teaching assignment The assignment for any faculty member in the unit who is not receiving special released time for additional administration, research, service, or a leave of absence.

Teaching Applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, mentoring, development of course materials or courseware, and development of innovative approaches to instruction.

Advisement Includes the time devoted to student advisement by any faculty member who has been officially appointed as Faculty Advisor to undergraduate or graduate students.

Research/Scholarship/Creative Activity Applies to the studious inquiry, examination or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship/creative activity may include, but is not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, and creative activities (e.g., film making, performances, or other artistic creations).

Service/Outreach Applies to involvement within the community as defined by the University's role and mission, service to the University, service within the bounds of the faculty member's discipline and budgeted assignment, and for which the faculty member is given teaching equivalency time.

Administration Includes the percentage of time devoted to administrative activities in this account number for which a faculty member is given teaching equivalency time.

Outside Employment ~~Means~~ Defined as "outside of and in addition to normal work assignments and responsibilities" and includes teaching or consulting for organizations other than TTU (<http://www.tntech.edu/adminpandp/perspay/pp18.html>).

FACULTY ANNUAL REPORT

As part of the annual evaluation process, each faculty member is required to prepare and file a Faculty Annual Report documenting activities and effort with respect to his/her current Agreement on Responsibilities. Each academic unit is required to define an appropriate format for the Faculty Annual Report. At a minimum, the report format should provide documentation of the faculty member's activities and effort related to the areas on the Agreement on Responsibilities: teaching, advisement, research/scholarship/creative activity, service/outreach, and administration. Academic units may add areas as needed to completely document a faculty member's work. Academic units may also use the previously required Faculty Activity and Load Reports to meet the requirements for the Faculty Annual Report. As a result of the deadlines for promotion dossier preparation, the Faculty Annual Report for the current year will always be a partial report.

FORM LETTER TO FACULTY MEMBER ELIGIBLE TO BE CONSIDERED FOR PROMOTION

(Type on departmental/unit letterhead)

[date]

[Faculty Member]
[Campus Address]

Dear [Faculty Member]:

You are hereby notified that you have the requisite years of experience to be eligible to be considered for promotion to the rank of [rank]. You must inform me as to whether or not you wish to be so considered by checking the appropriate box below, and signing, dating, and returning this letter to me no later than September 7, _____. If you chose not to be considered this year, it is your responsibility to notify your department chair no later than September 7 of the academic year in which you wish to be considered for promotion using Form P6a.* please indicate below if you want to be notified of your eligibility for promotion consideration to [rank] each successive year in the future.*

If you choose to be considered for promotion, you are responsible for providing information upon which evaluation will be based. Please refer to the Tennessee Technological University Policy 206 on Faculty Promotion-2005, including the Promotion Procedures and Forms Packet-2005List, especially Form P3-05, for information concerning the materials which are required to be included in your promotion dossier and the processes which will be followed.

If you wish, you may request that faculty from outside the department/unit, former students, and other appropriate persons provide supporting evidence relative to your suitability for promotion. If you are an academic advisor, you must include at least one letter from an advisee. If you wish to be considered for promotion, your list of references, including addresses and telephone numbers, must be submitted to me no later than September 15, _____.

If you choose to be considered for promotion, any material you submit will be included unabridged in your completed dossier. Your dossier will be available to all of your departmental/unit peers for review and action and will be forwarded through administrative channels for action. All materials must be submitted to the departmental/unit promotion committee no later than October 15, _____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

[Departmental/Unit Chairperson]

ABC:de

Received by hand this day _____

Signed _____

I do do not wish to be considered for promotion during this academic year*.

~~I do do not wish to be notified of my eligibility for promotion to [rank] each successive year in the future.~~

~~*In choosing not to be considered for promotion this year, * In choosing not to be notified annually, I will assume responsibility in the future for notifying my departmental/unit chairperson of my desire to be considered for promotion prior to September 7 of the academic year in which I wish to be considered using Form P6a.~~

Signature _____ Date _____

Note: This letter will be prepared in triplicate and all three copies will be dated and signed in the first two spaces above before September 1. One copy will be retained by the department/unit at the time of delivery; the faculty member will review, sign, and date the second copy on the bottom line, and return it to the departmental/unit chairperson no later than September 7. The third copy will be retained by the faculty member.

FORM LETTER FROM FACULTY MEMBER WISHING TO BE CONSIDERED FOR
PROMOTION

(Type on departmental/unit letterhead)

[date: on or prior to September 7th]

[Faculty Member]

[Campus Address]

Dear [Chairman]:

I am hereby notifying you that I desire to be considered for promotion to [next higher rank] this academic year.

In order to provide you with as much information as possible, I will compile and release a promotion dossier which once submitted, can be made available to the departmental/unit faculty members for reference. I have analyzed the Policy on Academic Promotion, Tennessee Technological University, and the Promotion Procedures and Forms Packet, including Form P3-16, to make sure I include the materials which are required in my promotion dossier as well as the process which will be followed. I also agree to provide names, contact information, etc., for potential external evaluators in accordance with promotion policy for promotion to [next higher rank] in time for those individuals to provide hard-copy signed letters on my behalf prior to October 15, _____. I will let you know if I have any questions concerning the process.

I understand that all materials must be submitted to the departmental/unit promotion committee by October 15, _____.

I understand the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

[Faculty Member]

ABC:de

Received by hand this day _____

Signed _____

Note: This letter will be prepared in duplicate and both copies will be dated and signed by the chairman in the first two spaces above on or before September 7. One copy will be reviewed, signed, and dated on the bottom line by the chairman. The other copy will also be signed by the chairman and retained by the faculty member desiring promotion consideration.

FORM LETTER TO PEER EVALUATOR REQUESTING INFORMATION
FOR A FACULTY MEMBER'S PROMOTION DOSSIER
(Type on departmental/unit letterhead)

[date]

[Faculty Evaluator]

[Address]

Dear [Faculty Evaluator]:

[Faculty Member] is being considered for promotion to the rank of [rank]. As one of [Faculty Member]'s peers, you are requested to assist in evaluating the quality and significance of [his/her] performance in teaching, research/scholarship/creative activity, and service/outreach. If you choose to put your evaluation in writing, please put it in the form of a letter to me. A copy of [Faculty Member's] Agreement on Responsibilities and Form P14, which describes the various criteria to be considered for promotion, are available in the departmental/unit office. Should you elect to respond, your letter will be included without abridgment in [Faculty Member]'s promotion dossier and will be used in the formulation of a summary report on [Faculty Member] to be submitted to the departmental/unit peers by the departmental/unit promotion committee. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Your letter should reach my office no later than October 15, ____.

After [Faculty Member's] promotion dossier has been compiled, including the summary report of its contents, you will be requested to participate in a meeting of the departmental/unit peers at which [Faculty Member's] qualifications will be discussed and a secret ballot taken as to whether or not to recommend promotion.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both promotion and tenure and wishes to have an evaluator asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms P7 and T7 so that the evaluator need write one letter only.

FORM LETTER TO THE CHAIRPERSON OF THE DEPARTMENT/UNIT
(Type on departmental/unit letterhead)

[date]

[Departmental/Unit Chairperson]
[Campus Address]

Dear [Departmental/Unit Chairperson]:

[Faculty Member] is being considered for promotion to the rank of [rank]. As chairperson of [Faculty Member's] academic department/unit, you may be aware of information about [him/her] which is relevant to the decision the departmental/unit peers will be making about [his/her] promotion. You are requested in consultation with Dean [name] to supply the departmental/unit promotion committee any information which may be relevant and which perhaps would not become known to the committee from other sources. The committee is seeking relevant information about [Faculty Member's] teaching, research/scholarship/creative activity, and service/outreach. All relevant data should be submitted at this point and may not be submitted later in the promotion process. At this point only information is requested, as you will have an opportunity to evaluate the candidate at a later stage of the promotion process.

Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Whatever materials you wish to submit, or a statement to the effect that you will not be submitting any materials, should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both promotion and tenure, the chairs of the two committees may combine Forms P8 and T8 so that the chairperson need write one letter only.

FORM LETTER TO THE ADMINISTRATOR TO WHOM THE FACULTY MEMBER
IMMEDIATELY REPORTS

[Type on departmental/unit letterhead]

[date]

[Administrator]

[Address]

Dear [Administrator]:

[Faculty Member] is being considered for promotion to the rank of [rank]. As the administrator to whom [Faculty Member] immediately reports, you are requested to assist in evaluating the quality and significance of [his/her] performance in teaching, research/scholarship/creative activity, and service/outreach. A copy of [Faculty Member's] Agreement on Responsibilities and Form P14, which describes the various criteria to be considered for promotion, are available in the departmental/unit office. Should you elect to respond, your letter will be included without abridgement in [Faculty Member]'s promotion dossier and will be used in the formulation of a report on [him/her] to be submitted to the departmental/unit peers by the departmental/unit promotion committee. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Whatever materials you wish to submit should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both promotion and tenure, the chairs of the two committees may combine Forms P9 and T9 so that the administrator need write one letter only.

FORM LETTER TO A NON-PEER EVALUATOR REQUESTING INFORMATION
FOR A FACULTY MEMBER'S PROMOTION DOSSIER
(Type on departmental/unit letterhead)

[date]

[Non-Peer Evaluator]
[Address]

Dear [Non-Peer Evaluator]:

[Faculty Member] is being considered for promotion to the rank of [rank]. [Faculty Member] has requested that you be asked to assist in evaluating [his/her] performance. Your letter will be enclosed without abridgement in [Faculty Member's] promotion dossier and will be used in the formulation of a report on [Faculty Member] to be submitted to the department/unit by the departmental/unit promotion committee. Enclosed is a copy of [Faculty Member's] Agreement on Responsibilities and Form P14, which describes the various criteria to be considered for promotion [are available in the departmental/unit office.]* Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Should you elect to respond, your letter should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

Enclosures: Agreement on Responsibilities & Form P14 (if applicable)

This letter may be sent via electronic mail.

If the candidate is being considered for both promotion and tenure and wishes to have a non-peer evaluator asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms P10 and T10 so that the evaluator need write one letter only.

**Make the appropriate changes in the form depending on whether the recipient is on or off campus.*

FORM LETTER TO OFF-CAMPUS EVALUATOR OF CANDIDATE FOR PROMOTION
TO THE RANK OF FULL PROFESSOR
(Type on departmental/unit letterhead)

[date]

[Off-Campus Evaluator]
[Address]

Dear [Off-Campus Evaluator]:

[Faculty Member] is being considered for promotion to the rank of Professor of [discipline] at Tennessee Technological University. University policy requires that those being considered for promotion to this rank be evaluated by at least ~~three~~ four off-campus evaluators. [Faculty Member] has suggested that you are knowledgeable about [his/her] professional capabilities and accomplishments; therefore, we request that you serve as one of [his/her] evaluators. Enclosed is a copy of [Faculty Member's] Agreement on Responsibilities and Form P14, which describes the various criteria to be considered for promotion.

Your letter will be enclosed without abridgment in [Faculty Member]'s promotion dossier and will be used in the formulation of a report on [Faculty Member] to be submitted to the department/unit by the departmental/unit promotion committee. Depending upon your familiarity, consider [his/her] performance in teaching, research/scholarship/creative activity, and service/outreach. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Should you elect to respond, your letter should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

Enclosures: Agreement on Responsibilities, Form P14, Envelope

FORM LETTER TO FORMER STUDENT
(Type on departmental/unit letterhead)

[date]

[Former Student]

[Address]

Dear [Former Student]:

[Faculty Member] is being considered for promotion to the rank of [rank]. As one of [Faculty Member]'s former students, you are invited to assist in evaluating [his/her] performance as a teacher. Should you elect to respond, your letter will be enclosed without abridgement in [Faculty Member's] promotion dossier. [Enclosed are a/A] copy of [Faculty Member's] Agreement on Responsibilities and Form P14, which describes the various criteria to be considered for promotion [./, are available in the departmental office.]* Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. Should you elect to respond, your letter should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

Enclosures: Agreement on Responsibilities & Form P14

This letter may be sent via electronic mail.

If the candidate is being considered for both promotion and tenure and wishes to have a former student asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms P12 and T11 so that the evaluator need write one letter only.

**Make the appropriate changes in the form depending on whether the recipient is on or off campus.*

FORM LETTER TO ADVISEE
(Type on departmental/unit letterhead)

[date]

[Advisee]

[Address]

Dear [Advisee]:

[Faculty Member] is being considered for promotion to the rank of [rank]. As one of [Faculty Member]'s advisees, you are invited to assist in evaluating [his/her] performance by giving your opinion of [him/her] as an academic advisor. A copy of [Faculty Member's] Agreement on Responsibilities and Form P14, which describes the various criteria to be considered for promotion, are available in the departmental/unit office. Should you elect to respond, your letter will be included without abridgment in [Faculty Member]'s promotion dossier. Please be advised that your response cannot be received by electronic mail, but must be supplied on paper with your original signature. The material should reach my office no later than October 15, ____.

For your information, the State of Tennessee Public Records Act requires that most state records, including promotion files, be open for personal inspection by any citizen of Tennessee.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

This letter may be sent via electronic mail.

If the candidate is being considered for both promotion and tenure and wishes to have an advisee asked to write a letter of recommendation for both purposes, the chairs of the two committees may combine Forms P13 and T12 so that the evaluator need write one letter only.

AREAS AND CRITERIA TO BE CONSIDERED
WHEN EVALUATING A PEER FOR PROMOTION

The following format contains summaries of performance in the areas of teaching, research/scholarship/creative activity, and service/outreach, in which a candidate for promotion is to be evaluated, and the criteria to be used in making the evaluation. When the candidate's dossier has reached the appropriate stage of completion, the departmental/unit promotion committee will review and synthesize its contents in accordance with this format in a written report.

These listings of criteria are not meant to be all-inclusive; they are intended to serve as aids in assuring that no relevant criteria are overlooked. The evaluator is, therefore, urged to consider additional criteria as they seem substantive and appropriate. It is not expected that the candidate will have contributed equally to all areas listed. It is expected, however, that, if a candidate's activities are unusually limited in one area, this be counterbalanced by superiority in other areas of responsibility. Likewise, if the faculty member is assigned to an area such as continuing education, extended service, or on-line teaching and/or on-line course development; to the library; to a research area or other specialized area, this departure from the more traditional assignment involving a balance among teaching, research/scholarship/creative activity and service/outreach will be reflected in the candidate's Agreement on Responsibilities.

1. Teaching may consist of a combination of the following professional activities:
 - a. Classroom, on-line, and laboratory teaching of credit courses and seminars, including preparation and delivery of lectures, conduct of classes, supervising of laboratory work, evaluation of students, and conferences with students regarding coursework. This activity may be conducted on a team basis.
 - b. Individual instruction, including (1) directed individual studies, i.e., credit instruction on an informal individual basis; (2) private lessons, e.g., private music lessons; (3) supervision of student interns, such as students enrolled in a practicum, practice teaching, or work experience courses, and cooperative education students, including evaluation of student progress, conduct of seminars and critique sessions, and counseling of students; (4) thesis and dissertation supervision, including service as a member or chair of graduate committees; and (5) clinical teaching, as in a health-related field.
 - c. Academic advisement, including informal counseling with students on academic course or program selection and scheduling, and other matters related to academic progress.
 - d. Course materials, curriculum, and teaching methodology development, such as development of new approaches, improvement of teaching materials, experimentation with teaching methodologies and assessment methods, and development of structure, content, and sequence of courses.
 - e. Non-credit instruction in professional non-credit continuing education programs and development of professional instruction programs, which may be on an assigned or overload basis.

- f. For librarians, instruction is to be equated with the performance of professional library responsibilities.
 - g. Faculty development, i.e., formal and informal activities primarily directed to maintaining and enhancing faculty teaching capabilities.
2. Research/Scholarship/Creative Activity includes those professional activities designed to discover, create, or disseminate greater knowledge, appreciation, or understanding of an academic discipline, including, but not limited to:
- a. Pure research: seeking new knowledge, investigating realms not covered by current understanding or challenging current understanding.
 - b. Applied research: the application of known methods or theories to specific circumstances.
 - c. Pedagogical research: the development of pedagogical techniques and their application in the classroom or laboratory, furthering the dissemination of knowledge.
 - d. Artistic creativity and performance: the creation and exhibition of works of art or crafts, or the composition and/or performance of plays, music, etc.
 - e. Faculty development: formal and informal activities primarily directed to maintain and enhance faculty research, scholarship, or creative capabilities or performance.

Evaluation of the candidate's research/scholarship/creative activity should stress the quality of the documented work, and should be based on the professional judgment of peers in the discipline. Documentation of these activities should manifest ability in the candidate's discipline. Some methods of documenting this evaluation include, but are not limited to, publication of articles in refereed journals, publication of books by recognized presses, proprietary research, production of juried artistic works, presentation of refereed papers at professional meetings, obtaining competitive grants from professional agencies, or similar means.

3. Service/Outreach includes those activities undertaken in service to the community, the University, the higher education profession as a whole, and the faculty member's academic discipline, including:
- a. Service to students unrelated to credit instruction, such as sponsoring student organizations and extracurricular activities, and non-assigned tutorial instruction to enhance the academic skills of students.
 - b. Service to the University, such as service on departmental/unit, college, and University committees, assignments involving student recruitment, institutional development, public relations, and consultation with University offices.
 - c. Service to scholarly and professional organizations, including participation in such organizations as a member, officer, or committee member, as a member of an editorial board of a scholarly or professional organization, or service to accrediting organizations and agencies.
 - d. Service to the community, industry, or government, including (1) professional service, i.e., service directly related to the professional expertise of the faculty member, including consulting activities whether for compensation or not; and (2) other contributions to the cultural environment of the community, such as service as an officer or member of boards or committees, service to non-profit charitable organizations, or to governmental agencies.

- e. Faculty development, i.e., formal and informal activities primarily directed to maintaining and enhancing faculty capabilities in public and professional service.

Instructions for Committee Summary of a Dossier

After reviewing the materials in the candidate's dossier, including the letters of recommendation, the departmental/unit promotion committee shall summarize the record of the candidate in each of the areas of teaching, research/scholarship/creative activity, and service/outreach. This synthesis shall not only summarize the data contained in the dossier, but shall compare it with the weights given each area in the candidate's Agreement on Responsibilities. Finally, the committee shall provide a general summary of the candidate's achievements. Each such report shall be signed and dated by the chairperson of the departmental/unit promotion committee.

FORM LETTER TO DEPARTMENTAL/UNIT PEER EVALUATOR
SCHEDULING A VOTE

(Type on departmental/unit letterhead)

[date]

[Faculty Evaluator]

[Campus Address]

Dear [Faculty Evaluator]:

The department/unit must decide whether to recommend [Faculty Member] for a promotion from [rank] to [rank]. In keeping with University policy that recommendation for promotion devolves from the professional judgment of departmental/unit peers, I request that you, as [Faculty Member]'s peer, participate in the decision-making process.

[Faculty Member]'s promotion dossier containing the report of the Departmental/Unit Promotion Committee is available in [name of place] for your consideration. Please refer to the report on the dossier prepared by the Committee and to the dossier itself and come to the meeting on [date, time, location] prepared to discuss the merits of the candidate and vote by secret ballot whether or not to recommend promotion.

If, for a compelling professional or personal reason, you cannot attend the meeting, you may submit an absentee vote to the chairperson of the departmental/unit promotion committee by [date]. This privilege should not be lightly invoked, and shall not be extended to peers who are able to be physically present, inasmuch as participation in the discussion of the merits of the candidate and the recommendation of the promotion committee is a significant element in the decision-making process. Should you not be able to attend the meeting due to compelling professional or personal reasons and feel your absence destroys your ability to render a professional judgment, you may so inform me in writing by [date], in which case you shall not vote and will not be counted in determining the plenum on which a majority is to be determined.

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

This letter may be sent via electronic mail.

PEER EVALUATION OF FACULTY FOR PROMOTION CONSIDERATION

Name _____ Department/Unit _____
 Date _____ Date Employed _____
 Present Rank _____ Date Rank Assigned _____

_____ is being considered for promotion to the rank of _____. The department/unit must decide what recommendation to make on this matter. In keeping with University policy that recommendation for promotion devolve from the professional judgment of the peers, you are required to participate in the decision making process by completing the following evaluation, including the sections calling for comments. Only the chair of the promotion committee will see these individual evaluation forms, but comments will be summarized and shared with the candidate. Please check the appropriate descriptor for each area of emphasis, making additional comments as appropriate.

CONTRIBUTION TO UNIVERSITY MISSION

Degree of Emphasis*

Teaching: OUTSTANDING HIGH GOOD ACCEPTABLE UNACCEPTABLE

*()

Comments:

Advisement: OUTSTANDING HIGH GOOD ACCEPTABLE UNACCEPTABLE

*()

Comments:

Research/Scholarship/Creative Activity: OUTSTANDING HIGH GOOD ACCEPTABLE

*() UNACCEPTABLE

Comments:

Service/Outreach: OUTSTANDING HIGH GOOD ACCEPTABLE

*() UNACCEPTABLE

Comments

Administration: This part is not evaluated by departmental/unit peers.

Based on the above evaluation, indicate your recommendation by selecting one of the following options:

- a) _____promote, or b) _____do not promote

**Supplied by chairperson of the promotion committee from the Agreement on Responsibilities for the current year.*

FORM LETTER TRANSMITTING THE REPORT OF THE DEPARTMENTAL/UNIT PROMOTION COMMITTEE AND THE VOTE OF THE DEPARTMENTAL/UNIT PEERS TO THE FACULTY MEMBER WHO IS BEING CONSIDERED FOR PROMOTION
(Type on departmental/unit letterhead)

[date]

[Faculty Member]
[Campus Address]

Dear [Faculty Member]:

Enclosed is a copy of the report prepared on your promotion dossier by the departmental/unit promotion committee. This report was compiled on the basis of all of the information contained in your dossier, and a copy of this report has been included in your promotion dossier. Also, enclosed is a copy of the summary and compilation of the meeting of your peers where the promotion vote was taken.

The faculty of your department/unit has voted and the tabulated results are as follows:

- _____ Promote
- _____ Do not promote
- _____ Not voting
- _____ Total number of peers

Sincerely,

Chairperson of Departmental/Unit Promotion Committee

ABC:de

Enclosure

Received by hand this day _____

Signed _____

Note: This letter will be prepared in duplicate, both copies dated and signed by the faculty member in the spaces provided above. One copy becomes the property of the faculty member; the other copy is retained by the department/unit.

PROMOTION COVER SHEET

Faculty Member's Name _____

Rank _____ College _____ Department/Unit _____

1. It has been determined that the faculty member meets the criteria for consideration for promotion.
2. Evaluation by departmental/unit faculty: out of a total of _____ qualified departmental/unit peers*, _____ peers have submitted recommendations as follows (show total for each category):

Voting Category	Promote	Do Not Promote	Not Voting	Date and Initials of Committee Chairperson
Faculty				

The vote of the departmental/unit faculty shall be interpreted as follows: A majority vote for the option to promote or not to promote is required for either of the options to be presented as the recommendation of the faculty. Majority is to be determined by the majority of the qualified departmental/unit peers, not the majority of those voting.

3. Profile of recommendations at all levels (spaces provided on the right to be dated and initialed at each level):

Recommendation Category	Promote	Do Not Promote	Date and Initials
Departmental/Unit Chairperson			
College Dean			
Provost and Vice President for Academic Affairs			
President			

Enclosures (in order): Form P1, Form P2, Form P3, Forms P4, and P5 for each year since the faculty member was employed (maximum of four years), student evaluations (using an approved University instrument) for at least one term each year (in all classes) for each of the previous four years or since initial appointment, whichever is the shorter period, and grade distributions (showing the course average against the students' average) for the terms in which the submitted student evaluations were conducted, and, if available, letters from departmental/unit peers, letter from the departmental/unit chairperson, letter from the administrator to whom the faculty member immediately reports, if not the departmental/unit chairperson, letter(s) from advisees, and from individuals from outside the department/unit if used in the promotion evaluation. The dossier organization should follow the Promotion Dossier Checklist.

*Complete list of peers qualified to vote must be attached.