Section 4  Selection, Appointment, Tenure and Career Development of Tenure Track Faculty Members

4.1  Tracks Available to Full Time Faculty

Full time faculty at the UTHSC can be hired either on the tenure-track or the nontenure track. Tenure track faculty are hired with an expectation that they will contribute in a full range of faculty activities, including teaching, research/scholarly activity, and service, as well as patient care where appropriate. Nontenure track faculty are hired for a more limited scope of activities, with a major emphasis on clinical care, teaching or research/scholarly activity and at least minimal contributions in one of the other missions of the university. (See Section 5.2.2 for additional information relating to nontenure track appointments). Faculty on either track can be promoted based on their accomplishments in their assigned missions; however, nontenure track faculty are not eligible for tenure. A transfer between tracks can occur under some circumstances (Section 4.9).

4.2  Definition of Tenure

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

4.3  The UTHSC Tenured and Tenure Track Faculty

Faculty members on the tenure track are initially appointed as probationary for tenure. After the completion of a successful probationary period, such faculty members are granted annual appointments that are continuous with tenure. Tenured faculty members may be terminated by UTHSC only for forfeiture of tenure (Section 8.1.4), adequate cause (Sections 8.2 and 8.3), or under extraordinary circumstances because of academic program discontinuance or bona fide financial exigency at UTHSC (Section 8.1.3).

The selection and the ongoing career development of the tenured and tenure track faculty individually and collectively, are essential to the fulfillment of the mission of UTHSC. The Chancellor, the Chief Academic Officer, the Dean, the Chair, and the full time faculty share the responsibilities of selecting faculty members wisely and promoting their professional development.

4.4  Selection and Career Development of Tenure Track Faculty

4.4.1  Role of the Department Chair

The Department Chair is the academic and administrative leader of the department's faculty. The Chair is responsible for the management of the department's activities, including direction of the
work of the faculty. The assignment of faculty workloads and work sites is the responsibility of the Chair, in consultation with the Dean when appropriate. The Chair is responsible for the equitable assignment of faculty responsibilities and assures that an appropriate balance of time and effort is committed within the department to teaching, research, service, and, if applicable, patient care. The Chair is responsible for overseeing the career development of all faculty members in the department. In a large department the Chair may delegate some of these responsibilities to Division Chiefs.

4.4.2 Role of the Tenured Faculty of the Department

Faculty membership on advisory committees concerned with faculty appointment, promotion, the award of tenure, and termination of tenured faculty for adequate cause is normally limited to the tenured faculty members within a given academic unit/college. [Note: in large departments the relevant academic unit may be a Division.] Moreover all tenured faculty within these units, with the exception of the Dean, the Chair (Section 8.3) make recommendations to the Chair (or, in large departments, to the Division Chief) on such matters. Recommendations from non-tenure track faculty may also be solicited by the Chair/Division Chief when their expertise is deemed relevant.

The mechanism for the tenured faculty's participation in these activities is described in the collegiate and/or departmental bylaws. If a department does not have at least three tenured faculty members (excluding the Dean and Chair), the departmental bylaws shall specify that the College Promotion and Tenure Committee (Section 4.4.3) will perform some of these activities, while also providing for the tenured faculty's participation in the Final Probationary Review and vote concerning the award of tenure (Sections 4.14.3.4 and 4.15.1), participation as members of a CPR Committee (Section 4.16.4), and participation in the procedures for termination for adequate cause (Sections 8.3.1 and 8.3.2). Bylaws for departmental governance shall contain appropriate policies, procedures, guidelines, and criteria for which the Board has delegated authority and specific responsibility to the departments. These bylaws shall include and be consistent with relevant policies, procedures, guidelines, or criteria of the Board, UTHSC, and the department's college.

Departmental bylaws must contain the rules governing (a) any more-specific criteria for tenure than those of UTHSC or the department's college; (b) guidelines and criteria for the Annual Performance and Planning Review which are appropriate to the department; and (c) the tenured faculty's participation in (1) the appointment or promotion of a tenured or tenure track faculty member, (2) the Interim and Final Reviews of a tenure track faculty member during his/her probationary period, (3) the Cumulative Performance Review of a tenured faculty member, and (4) the termination for adequate cause of a tenured, tenure track or nontenure track faculty member. These bylaws shall provide for participation of the tenured departmental faculty for these purposes. In addition, these bylaws shall also include a mechanism for reasonably notifying and accommodating tenured faculty members, shall provide for the manner of taking and recording a formal vote, and shall establish the minimum number of votes necessary to constitute a positive or a negative recommendation. A quorum shall be a minimum of fifty percent (50%) of the faculty eligible to vote on a given candidate or issue, and a positive or negative recommendation shall be decided by a simple majority of the participating faculty members. Bylaws may limit peer reviewers for appointments, promotions, and Cumulative Performance Reviews to those tenured faculty members holding faculty rank(s) equal or higher to that being sought by the candidate. Other matters having to do with departmental governance, including rules for amending the bylaws, may be included in these
bylaws. After approval by the Dean, the UTHSC Chief Academic Officer, and the Chancellor, these bylaws shall be published and made available to every full time faculty member in the department and placed on the web site of the Faculty Senate.

4.4.3 Composition and Role of the Collegiate Promotion and Tenure Committee

Each college must have a Collegiate Promotion and Tenure Committee (CPT Committee). The membership of the CPT committee shall be appointed by the Dean and must include at least four tenured faculty members, in addition to the committee chair. The collegiate academic officer shall serve ex officio as a voting member. A quorum shall be fifty percent (50%) of the faculty eligible to vote on a given candidate or issue, and a positive or negative recommendation shall be decided by a simple majority of those faculty members present.

The CPT Committee shall be advisory to the Dean and be responsible for

1. reviewing and recommending policies and programs in the area of appointments, promotions, and tenure;

2. implementing and evaluating procedures on appointments, promotion, and tenure; and

3. reviewing and recommending to the Dean action on all individual nominations by the department chairs for appointments, promotion, and the award of tenure, and other matters as assigned by the Dean.

Collegiate bylaws must contain appropriate policies, procedures, guidelines, and criteria for which the Board has delegated authority and responsibility to the colleges. These bylaws must also specify what documents are necessary for the various reviews by the CPT Committee, provide for the manner of taking and recording a formal vote of the CPT Committee, and establish the minimum number of votes necessary to constitute a positive or a negative recommendation to the Dean. Copies of these bylaws must be published and easily accessible to every full time faculty member in the college and placed in the office of the Chief Academic Officer, the Associate Dean for Academic Affairs of each college, the office of each chairperson, and on the website of each college and of the Faculty Senate.

4.5 Eligibility for Tenure Consideration

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

1. Tenure track faculty appointments at the academic rank of assistant professor, associate professor, or professor are eligible for tenure;

2. Instructors are ineligible unless they are recommended for promotion to assistant professor at the same time that they are recommended for tenure;

3. Temporary, term, and part time appointments are not eligible for tenure (Sections 6.2.2 and 6.2.3); and
4. Faculty members pursuing degrees at UTHSC are not eligible for tenure.

No faculty member shall be appointed initially with tenure except by positive action of the Board of Trustees upon the recommendation of the President and after review by the tenured faculty of the department and Chair, the Dean, UTHSC Chief Academic Officer, and Chancellor. The process for an expedited review can be found on the Board of Trustees web site: http://bot.tennessee.edu/policies-acad.html.

At UTHSC, the following individuals are not eligible for tenure and will be so notified in their initial faculty appointment agreement forms and letters of reappointment:

1. individuals who are appointed to UTHSC in administrative positions with academic rank and who are notified in writing that such service is not applicable to consideration for tenure (Section 6.2.4);

2. individuals with secondary faculty appointments whose primary appointments are non-faculty (Section 6.2.4); and

3. volunteer faculty members or individuals from other categories of Faculty (i.e., affiliated) who are not salaried through UTHSC (Sections 6.2.5 and 6.2.6).

4.6 Selection Criteria for Tenure Track Faculty Members

4.6.1 Selection of Tenure Track Faculty Members

Individuals who are selected as tenure track faculty receive an appointment that is probationary for tenure. Each such individual is selected because he or she appears to

1. fulfill the basic criteria for appropriate faculty rank as outlined in Section 6.1 of this Faculty Handbook;

2. fulfill the distinctive requirements established by the department for the faculty position to be filled; and

3. possess documentation of academic achievement and credentials (acquired as a student, a faculty member, a postdoctoral appointee, research associate, or during a fellowship or residency) that strongly indicate that the performance as a faculty member will be outstanding throughout his or her future academic career.

Proper credentials are the primary criteria for appointment. Credentials include, but are not limited to, academic degrees, postdoctoral training, residency, fellowship, certification, and other appropriate education and experience. The original appointment of an individual to a specific faculty rank must be based on credentials documented through the institutions from which they were obtained.
4.6.2 Selection Process for Tenure track Faculty Members

1. On the basis of a demonstrated need of the department's academic program and availability of money for the position, the Chair requests that a new or replacement tenure track faculty position be filled.

2. The Dean authorizes the new or replacement tenure track faculty position to be filled.

3. Chair prepares a description of the open position and initiates the appropriate UTHSC recruitment process to identify candidates.

4. The Chair may appoint a search advisory committee.

5. The Chair shall consult with the tenured/tenure track departmental faculty of equal or higher ranks to that of the prospective appointee before nominations are forwarded. Final responsibility for the departmental recommendation rests with the Chair.

6. The Chair selects the candidate to be recommended for the position.

7. The Chair holds informal discussions with the selected candidate concerning rank, salary, and other conditions of employment, and the candidate's willingness to accept such conditions, if a formal offer is made by UTHSC.

8. If the selected candidate is willing to accept the conditions of employment, the Chair proceeds to the appointment process described in Sections 4.7.1 and 4.7.2.

4.6.4 Nepotism

The University permits the employment of relatives as defined by Human Resources Policy HR0115 regarding Employment of Relatives (https://my.tennessee.edu/portal/page?_pageid=34,140536&_dad=portal&_schema=PORTAL&p_policy=HR0115), but they must not be placed in the same direct line of supervision, thereby being able to determine the appointment, retention, salary, promotion, or other aspects of the employment of their relatives. Where faculty members are in a position of responsibility affecting a relative, they must waive authority and defer to the next higher administrative officer.

4.6.5 Certification of Effective Communication in English

An individual who is a candidate for an appointment to a teaching position or for tenure in such a position and whose native language is not English is evaluated by the Chair regarding the ability to communicate effectively with students in the English language (www.uthsc.edu/policies/w932_document_show.php?p=229).

The method of evaluation shall be noted in the college bylaws and must provide for consistent, thorough, and effective evaluation. If the Chair finds the individual's ability acceptable, he or she so certifies in writing to the Dean, indicating the method of assessment that was employed.
4.7 Initial Faculty Appointment Process

4.7.1 Approval by the Dean

After a candidate who is willing to accept the conditions of employment is selected, the initial appointment process is as follows:

1. The Chair makes a recommendation for appointment at a particular rank to the Dean (Section 6.1).

2. The Dean may request the CPT Committee to review the candidate's credentials and make a recommendation concerning the appointment and rank.

3. The Dean may (a) agree with the Chair's recommendations concerning both appointment and rank; (b) agree with the Chair's recommendation for appointment but disagree with the recommendation concerning rank and direct the Chair to modify the appointment; or (c) disagree with the Chair's recommendation for appointment and direct the Chair to continue the selection process.

4.7.2 Initial Appointment Letter

1. Notification of initial appointment to the selected candidate is made by letter from the Dean and the Chair. Sample letters of appointment are included in the Faculty Evaluation Manual. The letter should state the precise terms and conditions of the appointment including, but not limited to:

   a. the classification of the appointment, e.g., tenure track or nontenure track; if the former, the letter should also state that the faculty appointment is probationary for tenure;

   b. the rank, salary, and related financial conditions;

   c. the length of the probationary period (Section 4.8) and the academic year in which the faculty member must be considered for tenure if he or she has met the minimum eligibility requirements;

   d. the initial specific academic expectations of the appointee during the probationary period, including the percent effort that should be devoted to each of the assigned missions;

   e. the general expectation that the appointee will abide by the rules and regulations of UTHSC, including the provisions of this Faculty Handbook and the principles of the Honor Code of UTHSC; and
f. a statement that the letter contains the complete appointment agreement between UTHSC and the appointee and that any previous discussions or correspondence are not binding on UTHSC.

2. The initial appointment letter must include the internet address of the UTHSC home page and information concerning how to access the Faculty Handbook and the Honor Code through the home page.

3. The selected candidate's written acceptance of the provisions of the initial appointment letter, together with the execution of a faculty appointment agreement, a personnel action form, and other UTHSC employment forms, completes the initial agreement of employment between the new faculty member and UTHSC. Execution of a faculty appointment agreement requires documentation of the candidate’s credentials (including a copy of his/her diploma and transcripts) and evidence of licensure where appropriate.

4. The base salary is the only portion of a faculty member's salary that is protected by tenure. The initial appointment letter must specify the base salary and indicate the terms and limitations regarding any additional funding that might be provided for other specified duties (e.g., additional compensation for service as Chair, institute director, program director, dean).

4.8 Probationary Period

4.8.1 Length of Probationary Period

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

The original appointment letter shall state the length of the faculty member's probationary period and the academic year in which he or she must be considered for tenure if he or she has met the minimum eligibility requirements for consideration (Section 4.11.1). The review date for the award of tenure usually occurs during the year preceding the last year of the probationary period. The stipulation in the original appointment letter of the length of the probationary period and the year of mandatory tenure consideration does not guarantee retention until that time.

For good cause related to procedural error (e.g., lack of due process), UTHSC and a tenure track faculty member may agree in writing to extend a seven-year probationary period for a maximum of two additional years. The proposed extension must be approved in advance by the UTHSC Chief Academic Officer, the Chancellor, the Senior Vice President (or designee), and the General Counsel (or designee).
4.8.2 Suspension of Probationary Period

The UTHSC Chief Academic Officer shall decide whether the probationary period will be suspended when the faculty member:

1. accepts a part time faculty position;
2. accepts an administrative position; or
3. is granted a leave of absence.

The UTHSC Chief Academic Officer shall give the faculty member written notice of the decision concerning suspension of the probationary period. If the UTHSC Chief Academic Officer approves a suspension of the probationary period, an extension of that period will be granted.

4.9 Transfer of Appointments

4.9.1 Transfers from Part Time to Full Time Appointments

If a part time faculty member later becomes a full time faculty member on the tenure track, the process of a tenure track appointment must be followed (Sections 4.6 and 4.7). This includes adherence to all Equal Opportunity and Affirmative Action requirements as this will be considered a new position for affirmative action purposes. The time period during which the individual held a part-time faculty position may be considered as part of a probationary period after which a recommendation for awarding tenure may be made. Such credit for the earlier appointment is determined by the faculty member, the Chair, and the Dean prior to the appointment to a tenure track position.

4.9.2 Transfers Between Tracks

A nontenure track UTHSC faculty member may be appointed to a tenure track appointment on recommendation of a Department Chair, with the approval of the Dean and after consultation with the tenured and tenure track faculty of that department. In such cases, the process for a standard academic appointment must be followed (Sections 4.6 and 4.7). In addition, such appointments must conform to all Equal Opportunity and Affirmative Action requirements as this will be considered a new position for affirmative action purposes. When such transfers are approved, the newly appointed tenure-track faculty member can request that his/her full time effort prior to the transfer be applied to the probationary period; such credit towards tenure must be agreed upon in writing by the Chair, the Dean, the Chief Academic Officer, and the faculty member.

A tenure track faculty member may request transfer to the nontenure track on the recommendation of his/her Department Chair, with the approval of the Dean. Such transfer shall not normally be refused for faculty in good standing.

Only one transfer between nontenure and tenure tracks would normally be considered.
4.10 Notice of Non-Renewal

Notice that a tenure track faculty member's appointment will not be renewed for the next year shall be made in writing by the UTHSC Chief Academic Officer, upon the recommendation of the Chair and Dean, according to the following schedule:

1. In the first year of the probationary period, not less than three months in advance;
2. In the second year of the probationary period, not less than six months in advance; and
3. In the third and subsequent years of the probationary period, not less than twelve months in advance.

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

The procedure for appeal of a decision for non-renewal of a faculty appointment is described in Section 7.

4.11 Criteria for Tenure

Tenure is awarded after a thorough review that culminates in the University acknowledging a reasonable presumption of the faculty member's professional excellence, and the likelihood that excellence will contribute substantially over a considerable period of time to the mission and anticipated needs of the academic unit in which tenure is granted. Professional excellence is reflected in the faculty member's teaching, research, and service including the faculty member's ability to interact appropriately with colleagues and students. The relative weights of these factors will vary according to the fit between the faculty member and the mission of the academic unit in which he or she is appointed. Thus, a positive recommendation for the awarding of tenure is based not only on the individual's professional excellence but also may include consideration of the anticipated needs of the academic programs of UTHSC. Consequently, a recommendation not to award tenure is not a judgment of incompetence.

4.11.1 General Criteria for Tenure at UTHSC

The basic criterion for tenure for a tenure track faculty member at UTHSC is fulfilling the distinctive requirements established in writing by the department for the faculty position. The relative weighting is determined at the time of initial appointment but may be changed during the probationary period by the Chair and the faculty member during the Annual Performance and Planning Review(s). These distinctive requirements may include performance in teaching, research, and service. Thus, the minimum criteria for a positive recommendation for the award of tenure at UTHSC include the following:
1. fulfilling the distinctive requirements established in writing by the department for the faculty position, and

2. possessing a record of academic achievement at UTHSC that strongly indicates that his or her performance as a tenure track faculty member will meet the expectations and goals of the department throughout his or her future academic career.

Furthermore, no faculty member at the rank of Instructor shall be recommended for the award of tenure without a concurrent recommendation and a positive action for promotion to the rank of Assistant Professor.

The Board's policy on tenure states that a college or a department may establish more-specific criteria for tenure in that unit. The Board requires that, after approval by the Dean, the UTHSC Chief Academic Officer, and the Chancellor, these criteria for tenure shall be published in the bylaws of that academic unit. The Board also requires that the tenure criteria for a department shall include and be consistent with the criteria stated in the Board's policy, as well as any criteria established by the department's college and UTHSC.

4.11.2 Candidate's Supporting Documentation

The burden of proof that tenure should be awarded rests with the faculty member. At least one month before the deadline for review by the tenured departmental faculty, the Chair shall counsel the faculty member concerning updating his or her curriculum vitae and identifying supporting documentation to be submitted for this faculty review. The faculty member, in consultation with the Chair, shall compile a dossier containing all documents to be submitted for review and forward them to the Chair who will make the documents available for review. The Chair shall determine what deadlines are observed, provided these are consistent with UTHSC and the department's college deadlines. A listing of the items that are required in the dossier can be found in the Faculty Evaluation Manual; note however, that the tenured faculty in the candidate’s department and the Chair may request that additional items be included.

The faculty member may also include in the dossier any other documents that he or she believes may assist the tenured faculty in its review or be relevant to a positive recommendation. Such documents may include, but are not limited to, sample publications; summaries of student teaching evaluations, as well as other indicators of teaching performance; or letters of evaluation. A letter of evaluation contains a subjective peer-evaluation of a candidate's accomplishments and professional standing. For any candidate the maximum number of requested letters of evaluation is six. Within a department the number and nature of required letters should be uniformly applied to every faculty member. Any letters of evaluation should be directed to the Chair.

Faculty members are encouraged to contact their Chair, the chair of their CPT Committee, or the Faculty Senate for assistance with documenting performance relative to the criteria for the award of tenure.
4.12 Locus of Tenure

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

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

Transfers from another UT campus to UTHSC follow the procedures outlined for all new appointments in Sections 4.6 and 4.7. All aspects of the new appointment – title, rank, terms of employment, and tenure – are re-negotiated. This re-negotiation does not jeopardize the faculty member's participation in group insurance, retirement plans, or other standard faculty benefits. Prior to the effective date of the transfer, all conditions relating to tenure must be documented and accepted in writing by the transferring faculty member.

Transfers of tenure between colleges and/or departments within UTHSC do not require Board approval, but must be approved by the responsible campus administrators in consultation with the tenured faculty of the receiving unit(s), with notice to the Board of Trustees provided by notifying the System Vice President with responsibility for Academic Affairs. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted, in writing, by the transferring faculty member. If a nontenured, tenure track faculty member transfers from one existing department to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented and accepted, in writing, by the transferring faculty member.

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

4.13 Faculty-Initiated Changes in Clinical Practice Affiliation

A faculty member who proposes to change his/her clinical practice affiliation while maintaining an academic appointment must re-negotiate the terms of the academic appointment with the Chair and Dean. The faculty member must initiate such negotiations in advance of the proposed change to allow time for adequate discussion by all parties and for written response from the Dean. If, after consultation with the Chair and the faculty member, it is the opinion of the Dean that the faculty member can continue to fulfill all of his/her assigned UTHSC missions and otherwise fulfill the needs of the University within the proposed clinical practice affiliation, there may be no need for substantive changes to the faculty member’s academic appointment, compensation, and/or tenure
status. If not, after negotiation, the faculty member would be advised in writing, in a timely manner, that the proposed change in clinical practice affiliation would require a change in academic appointment, compensation, and/or tenure status. The nature of this change would be determined on a case-by-case basis. Negotiations regarding such changes must be carried out in good faith by the faculty member, the Chair, and Dean, recognizing the long-standing commitment of the tenured faculty member. Ultimately any change in the clinical practice affiliation must meet the needs of the college and UTHSC. Changing clinical practice affiliation without the prior written approval of the Chair and Dean constitutes resignation of a faculty member’s academic appointment and consequently, relinquishment of tenure (Section 8.1.1). The faculty member may appeal the Dean’s decision through the normal grievance process in Section 7. Any such appeal should be filed prior to the date of resignation from his/her current practice affiliation.

4.14 Career Development and Evaluation of Tenure Track Faculty Members

4.14.1 General

Promotion in academic rank and the award of tenure are separate issues at The University of Tennessee. It is the prerogative of UTHSC to undertake a series of reviews of a tenure track faculty member in his/her probationary period to determine whether retention is in order before the end of the probationary period stipulated.

The performance of each tenure track faculty member must be evaluated by the Chair and the faculty member's tenured colleagues. At UTHSC, for a faculty member on a tenure track, formal review of the individual's accomplishments is undertaken by the Chair annually. In addition, interim and final retention evaluations of each tenure track faculty member are conducted by the Chair, with advice from and vote of the tenured faculty of the department in which the candidate holds his or her position. The primary basis for a recommendation of retention is fulfillment of the distinctive requirements established in writing by the department for the faculty position that a tenure track faculty member fills.

4.14.2 Expectations Regarding Career Development of Tenure Track Faculty Members

Throughout their probationary period tenure track faculty are expected to develop and progress in their academic accomplishments. Faculty career development for a tenure track faculty member during the probationary period is the progression from initial appointment to the attainment of tenure. Successful career development is primarily the responsibility of the individual faculty member; however, guidance should be provided by the faculty member's Chair in consultation with the tenured faculty of the department.

4.14.3 Career Development and Evaluation Process for Tenure Track Faculty Members

The career development and evaluation process for tenure track faculty members in the probationary period is a series of meetings, involving the faculty member and the Chair. The purposes of these meetings are to:
1. mutually establish academic (e.g., teaching, research, service, and/or patient care) goals for the faculty member;

2. evaluate the faculty member's performance in achieving these previously established academic goals;

3. provide the faculty member with a routine opportunity to seek and receive advice and guidance from the Chair and the tenured faculty of the department; and

4. assess the progress towards attainment of tenure.

The tenured faculty of the department also participate in the processes described below. Any faculty member who feels aggrieved by the career development and evaluation process as applied to him or her may appeal through the provisions of Section 7. The career development and evaluation process is as follows:

4.14.3.1 Initial Meeting with the Chair

In his or her annual appointment letter, the tenure-track faculty member is advised in writing of the schedule for tenure and the final review date. As soon as possible after arriving at UTHSC but no longer than 30 days, the new tenure track faculty member must meet with the Chair to review the terms of the appointment, to receive the initial work assignment, and to mutually establish the academic goals to be achieved by the faculty member during the first academic year (or partial year). At this time the Chair will give the tenure track faculty member copies of the collegiate and departmental bylaws, including guidelines for the award of tenure.

4.14.3.2 Annual Performance and Planning Review

The procedure for these reviews and forms relating to this review can be found in the Faculty Evaluation Manual. Annually, each regular full-time tenure track faculty member in his/her probationary period must meet with the Chair to review his or her performance in achieving previously established academic goals, to receive the work assignment, and to mutually establish the academic goals to be achieved by the faculty member during the coming year. In addition, each year the Chair advises the faculty member concerning how much probationary time is left and how the quality of his or her performance is likely to be assessed. A document summarizing the review - including a summary rating of the faculty member's performance - must be signed by the faculty member (to acknowledge receipt of the review document) and the Chair (see Faculty Evaluation Manual). Copies of these Annual Performance and Planning Reviews are given to the faculty member and placed in the faculty member's personnel file.

4.14.3.3 Interim Probationary Review

For each tenure track faculty member whose probationary period is four or more years, an Interim Review will be conducted. The purpose of the Interim Review is to establish a mutual understanding between the faculty member and the Chair regarding his or her progress towards attainment of tenure. If the probationary period is four years, the Interim Review occurs in the second year. If the
probationary period is five, six, or seven years, the Interim Review occurs during the third year. A sample document summarizing this review and the process for the review can be found in the Faculty Evaluation Manual.

This two-part review will be conducted by the tenured faculty in the department, and by the Chair at the same time as the Annual Performance and Planning Review. After reviewing each tenure track faculty member's dossier (Section 4.11.2), the tenured faculty will record a formal vote on the individual's progress towards tenure.

A report will be written to the faculty member's Chair and will contain the following: a list of the participating tenured faculty members; all suggestions; the majority and minority views, if relevant; and the summary vote. The Chair will present and discuss the tenured faculty's report, as well as his or her own assessment, with the faculty member during the Annual Performance and Planning Review; this meeting with the Chair constitutes the second part of the Interim Review. The Chair will certify in the summary of the Annual Performance and Planning Review that the Interim Review by the tenured faculty has been completed and note the results thereof. Copies of these interim review documents are given to the faculty member and placed in his or her personnel file.

A favorable Interim Review does not commit the department or the college to a subsequent recommendation for the award of tenure. A negative Interim Review by either the tenured departmental faculty or the Chair should place the candidate on notice of deficiencies that must be corrected before the award of tenure could be recommended. In response to a negative review, the Chair and the faculty member should develop a written plan whereby the faculty member can meet the departmental expectations; this plan must be contained in the summary of the Annual Performance and Planning Review. Alternatively, an unfavorable review may lead to a notice of non-renewal (Section 4.10).

At any time during the probationary period, the Chair may request that the tenured faculty review the faculty member's progress.

4.14.3.4 Final Probationary Review

Each year the UTHSC Chief Academic Officer publishes and distributes a detailed schedule for the Final Probationary Reviews and the process related to the recommendation of the award of tenure. Generally, a faculty member's preparation for this review begins in September. Each candidate will prepare a dossier, containing the documents required for this review by the tenured departmental faculty (Section 4.11.2). External review of the dossier may be permitted in any case and required when sufficient expertise is lacking among the tenured departmental faculty. A sample document summarizing this review and the process for the review can be found in the Faculty Evaluation Manual.

Prior to one year before the end of the probationary period, the tenured departmental faculty make a thorough review of the dossier. Following the review of each candidate's dossier, the participating tenured faculty will meet and record a formal vote on the recommendation to award or not award tenure. The tenured faculty report to the Chair shall contain the following: a list of the participating tenured faculty members; the majority and minority views, if relevant; and the summary vote. A
copy of this report must accompany the request for the award of tenure forwarded to the CPT Committee, the Dean, the UTHSC Chief Academic Officer, and the Chancellor.

The Chair reviews the dossier(s) and considers the recommendation(s) of the tenured departmental faculty as well as those of the external reviewers. Then, the Chair makes a recommendation concerning each faculty member under consideration. In a case in which the recommendation of the Chair and the tenured departmental faculty coincide, the Chair prepares a letter of nomination to the Dean. The format for a letter of nomination is described in the collegiate guidelines related to the award of tenure. If the Chair’s recommendation differs from the recommendation of the tenured departmental faculty, this fact must be noted in the Chair's nominating letter and the reason(s) for the Chair's action must be explained. Whenever the recommendation of the Chair differs from that of the tenured faculty, the Chair must notify the tenured faculty and provide them with a copy of the recommendation letter. The tenured faculty will meet again to consider whether a dissenting report should be developed and forwarded to the chair of the CPT Committee. The tenured faculty will provide a copy of any dissenting report to the Department Chair.

Some faculty members may be recommended for the award of tenure earlier than one year before the end of their probationary period. However, this is an exceptional request that must be accompanied by a separate letter of explanation from the Chair and the Dean to the UTHSC Chief Academic Officer in addition to the dossier and letters of recommendation from the tenured departmental faculty and the Chair. Individuals recommended for the award of tenure at this time will be evaluated primarily on their accomplishments at UTHSC and on the value of the faculty member to UTHSC in the future.

4.15 Procedures for Consideration and Grant of Tenure

The UTHSC procedures for considering a faculty member for tenure include and are consistent with the minimum components stated in The University of Tennessee Policies Governing Academic Freedom, Responsibility, and Tenure (see http://bot.tennessee.edu/policies-acad.html).

4.15.1 Tenured Faculty's Recommendation

According to the Board's policy on tenure, an adequate evaluation of a tenure candidate's qualifications, professional contributions, potential, and determination of whether he or she should be accepted as a tenured member of the UTHSC academic community, requires the judgment of both the candidate's faculty colleagues and the responsible administrators. Thus, although recommendations for tenure are administrative actions that must be approved by the Board of Trustees, there should be no positive recommendation for tenure without formal consultation with the tenured faculty of the department in which the candidate holds his or her position. At UTHSC this formal consultation with the tenured faculty in the candidate's department is contained in the Interim and Final Probationary Reviews of the candidate's performance by the tenured faculty of his or her department (Sections 4.13.3.3 and 4.13.3.4).

Tenure resides in a community of scholars competent to evaluate a candidate's professional contributions and to determine whether, on the basis of past and potential contributions, he or she should be accepted as a permanent member of that community. The Board requires that each
department shall adopt bylaws governing the tenured faculty's consideration of a candidate for tenure. These bylaws shall provide for a meeting of the tenured faculty to debate and discuss the tenure candidacy. The bylaws shall also provide for the manner of taking and recording a formal vote of the tenured faculty on whether the candidate should be recommended for tenure and shall establish the minimum number of votes necessary to constitute a positive recommendation. At UTHSC the tenured faculty recommendation and formal vote is contained in the report of Final Probationary Review (Section 4.13.3.4).

4.15.2 Department Chair's Recommendation

The vote of the tenured faculty is advisory to the Department Chair. After making an independent judgment on the tenure candidacy, the Chair shall submit his or her recommendation to the Dean with a written summary of his or her judgment (Section 4.13.3.4). If the Chair's recommendation differs from the recommendation of the tenured faculty, the summary must explain the reasons for the differing judgment, and the Chair must provide a copy of the summary to the tenured faculty. The tenured faculty may forward a dissenting report to the next level of review (Section 4.13.3.4).

4.15.3 Dean's Recommendation

All tenure recommendations of the Department Chair, whether positive or negative, shall be reviewed by the Dean of the college. The Dean shall use the CPT Committee as advisory to his/her decisions. The CPT committee is described in Section 4.3.3.

Recommendations and supporting documents for each candidate for the award of tenure will be forwarded to the collegiate academic officer by the Department Chair. Recommendations are presented by the collegiate academic officer to the CPT Committee. The committee will vote on each recommendation, thereby making a positive or a negative recommendation on each candidate to the Dean. The summary vote of the CPT Committee, as well as any dissenting report from a tenured departmental faculty, must be included with the supporting documents and forwarded to the Dean and the UTHSC Chief Academic Officer, and the Chancellor.

If the CPT Committee renders a negative recommendation, the Department Chair will be informed in writing of the reason(s) for the recommendation. The Department Chair may appeal to the Dean before the recommendation at the college level is made.

The Dean will make a recommendation based on advice of the CPT Committee, the Department Chair and the tenured departmental faculty, as well as on the basis of other circumstances, including personal knowledge of individuals and the needs of the college. In the case of a positive recommendation by the Dean, he or she will advise the Chair. In a case of any negative recommendation by the Dean, the Dean will provide the individual faculty member and the Chair with written notice of that recommendation. The faculty member must be notified about the negative recommendation and must be informed of his or her right to consult with the UTHSC Chief Academic Officer prior to or at the same time as the Dean forwards the recommendation to the next level of review. After making an independent judgment on the tenure candidacy, the Dean shall forward his or her recommendation to the UTHSC Chief Academic Officer.
4.15.4 Recommendation of the UTHSC Chief Academic Officer

All tenure recommendations of the Dean, whether positive or negative, shall be reviewed by the UTHSC Chief Academic Officer. The UTHSC Chief Academic Officer, in consultation with the Chancellor, evaluates the college recommendations in light of general knowledge of individuals and the needs of UTHSC. During March and April, the UTHSC Chief Academic Officer, prepares a consolidated report. After making an independent judgment on the tenure candidacy, the UTHSC Chief Academic Officer, shall forward his or her recommendation to the Chancellor.

4.15.5 Chancellor's Recommendation

During April, all tenure recommendations of the UTHSC Chief Academic Officer, whether positive or negative, shall be reviewed by the Chancellor. After making an independent judgment on the tenure candidacy, the Chancellor shall forward only positive recommendations to the President by the beginning of May. Summary information on each faculty member being considered for tenure should be sent to the System Vice President with responsibility for Academic Affairs.

If the Chancellor reverses a negative recommendation, he or she will advise the Chief Academic Officer, the Dean, the Chair, and the faculty member. If the Chancellor does not reverse a negative recommendation, the faculty member will be advised regarding the appeal process (Section 7).

The Chancellor may decide that the best interests of UTHSC are not served by the award of tenure to a faculty member. In case of a negative recommendation by the Chancellor reversing a positive recommendation, the Chancellor must meet with the faculty member, the Chief Academic Officer, the Dean, and the Chair to explain the reason(s) for the adverse recommendation. At the faculty member's request, the Chancellor must provide the faculty member with written notice of the recommendation (Section 4.10), giving the reason(s) for that recommendation, and stating that the faculty member may appeal the recommendation in accordance with the provisions of Section 7.

4.15.6 President's Recommendation

If the President concurs in the positive recommendation of the Chancellor, he or she shall submit the recommendation for tenure to the Board of Trustees. However, the President may decide that the best interests of The University would not be served by the award of tenure to a faculty member. In such a case, the President will notify the Chancellor, who will inform the Chief Academic Officer, the Dean, the Chair, and the faculty member.

4.15.7 Action by the Board of Trustees

No person shall acquire or be granted tenure except by positive action of the Board of Trustees upon the recommendation of the President. The Board of Trustees acts only on positive recommendations. After positive action by the Board of Trustees, the Chancellor and Dean shall give the faculty member written notice of the effective date of tenure.
4.16 Career Development and Evaluation of Tenured Faculty Members

4.16.1 General

Faculty career development for tenured faculty members is the progression from the attainment of tenure to the attainment of the rank of professor, and, following these milestones, to an ongoing career of continually increasing academic achievement. Successful career development is primarily the responsibility of the individual faculty member; however, guidance should be provided by the faculty member's Chair. For a tenured faculty member, formal review of the individual's accomplishments is undertaken annually by the Chair as part of the faculty member's Annual Performance and Planning Review.

Competent teaching is a crucial responsibility for faculty members with teaching assignments, and the effective use of appropriate instructional evaluation (including departmental files on class syllabi and related materials, student evaluation, and peer evaluation) is important to all objective review processes. Faculty members with research responsibilities should have the quantity and quality of their work fairly assessed. Each faculty member's service contributions, if applicable, should be evaluated impartially. At UTHSC this evaluation process primarily emphasizes professional career development and usually integrates developmental goals of faculty members with departmental mission and priorities.

4.16.2 Career Development Planning and Evaluation Process for Tenured Faculty Members

Generally, the career development and evaluation process for tenured faculty members is a series of meetings, involving the faculty member and the Chair. The objectives of these meetings are:

1. to mutually establish academic goals for the faculty member (i.e., distinctive requirements of the faculty position in teaching, research, service, and/or patient care);

2. to evaluate the faculty member's performance in achieving these previously established academic goals; and

3. to provide the faculty member with a routine opportunity to seek and receive advice and guidance from the Chair.

Any faculty member who feels aggrieved by the career development and evaluation process as applied to him or her may appeal through the provisions of Section 7.

4.16.3 Annual Performance and Planning Review

The Board's policy on tenure states that each faculty member and his or her Department Chair will engage in a formal Annual Performance and Planning Review, examining the previous year's activities and planning what should occur during the coming year. The procedure for the Annual Performance and Planning Reviews at UTHSC is found in the Faculty Evaluation Manual. The Board's policy also stipulates that each faculty member's Annual Performance and Planning Review should proceed from guidelines and criteria which are appropriate to the department, college, and
UTHSC (Section 4.4.2). A document summarizing the review – including an objective rating of the faculty member's performance – must be signed by the faculty member (to acknowledge receipt of the review document) and the Chair; a copy must be sent to the Dean. Copies of the summary document and the Annual Performance and Planning Review are given to the faculty member and placed in his or her personnel file. An example of the summary document and details regarding the evaluation procedure can be found in the Faculty Evaluation Manual.

Annually, each tenured faculty member must meet with the Chair. The purpose of this meeting is three-fold:

1. to review the faculty member's performance in achieving previously established academic goals;
2. to receive the work assignment for the coming academic year; and
3. to mutually establish the academic goals to be achieved by the faculty member during the coming year.

At any time the Chair or faculty member may request that the tenured departmental faculty also review the faculty member's performance. At UTHSC, summary ratings indicate that during the past year the faculty member's performance was “Exceeds Expectations for Rank,” “Meets Expectations for Rank,” “Needs Improvement for Rank” or “Unsatisfactory for Rank”. UTHSC should recognize and seek to reward faculty members, who receive “Exceeds Expectations for Rank” ratings (Section 4.15.6).

In response to a negative rating (i.e., “Needs Improvement for Rank” or “Unsatisfactory for Rank”), the Chair and the tenured faculty member must develop a written plan whereby the faculty member can meet the departmental expectations; this plan must be contained in the summary of the Annual Performance and Planning Review. A faculty member whose performance is rated as “Needs Improvement for Rank” or “Unsatisfactory for Rank” shall be ineligible for merit pay or performance based salary adjustment, and must provide to the Chair a written Interim Progress Report of remedial steps taken on his or her performance in area(s) noted as “Unsatisfactory for Rank,” with copies forwarded to the Dean. The Dean must notify the UTHSC Chief Academic Officer, of all faculty members whose performance is rated as “Unsatisfactory for Rank.”

Similarly, the Dean meets and evaluates the performance of the Chairs and other full time faculty who report directly to the Dean. Copies of Annual Performance and Planning Reviews are given to those reviewed and placed in their personnel files.

**4.16.4 Cumulative Performance Review (CPR)**

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

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

At UTHSC the follow-up process described below and in the Faculty Evaluation Manual ensures that this review includes peer participation and evaluation.

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

The CPR Committee chair shall forward the committee consensus recommendation to the Chair, Dean, and Chief Academic Officer. Performance ratings for cumulative reviews shall be:

1. Satisfies Expectations for Rank;
2. Fails to Satisfy Expectations for Rank.

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

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

1. that the faculty member’s performance is Satisfies Expectations for Rank and no other action need be taken at this time; or

2. that the faculty member’s performance has improved sufficiently to allow for up to one additional year of monitoring of improvement, after which the Chair, CPR Committee, Dean, and Vice Chancellor of Academic Affairs must by consensus determine if the faculty member’s performance is “Satisfies Expectations for Rank” or recommend that the Chancellor initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee); or

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

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

4.16.5 Career Remediation Program

The Cumulative Performance Review allows an under-performing faculty member to improve with collegial and institutional support. In a case in which this review indicates need for improvement, UTHSC will provide the faculty member opportunities to improve his or her performance. These opportunities may include, but are not limited to the following: (a) consultation with colleagues for purposes of assisting in problem areas; (b) appropriate reallocation of departmental assignments to facilitate updating and improving the faculty member’s teaching or research; (c) access to a program for improvement; or (d) access to a program for personal counseling.

4.16.6 Recognition of Excellence

Whenever feasible, UTHSC should recognize and seek to reward faculty members who receive “Exceeds Expectations” ratings on their Annual Performance and Planning Review. Such rewards
may include, but need not be limited to the following: (a) a financial reward; (b) additional research or clerical support; (c) special travel funds; (d) provision of opportunities for participating in professional enrichment conferences or seminars; and (e) UTHSC recognition of individual faculty members for outstanding achievement.