

# **College of Dentistry Guidelines for Faculty Appointment, Promotion, and Tenure**

The University of Tennessee  
Health Science Center



Edition of July 2014

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Edits Related to Number of Publications for Promotion  
Approved by College Appointment, Promotion and Tenure Committee  
And  
Dean  
May 15, 2014

Revision Approved by the College of Dentistry  
Administrative Council  
September 9, 2009

Approved by the College of Dentistry  
Administrative Council  
April 1, 1995

Implemented  
April 1, 1995

Revised  
December 4, 2000

Revisions Approved by the College of Dentistry  
Administrative Council  
December 4, 2000

Implemented  
January 1, 2001

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## **FORWARD**

This document, whose first iteration dates to 1995, depicts very significant aspects of academic life in the College of Dentistry. Appointment to the College's faculty, subsequent promotion(s), and the awarding of tenure are important milestones both for the faculty member as well as the College. This document is intended to provide useful guidance for the faculty members in reaching their full potential and achieving their personal goals.

In this edition, the Evaluation Point System for Academic Promotion is described with the 2008-2009 academic year being the first year of implementation. This system is likely to evolve over time, and the most recent changes are best seen in the on-line version of this document.

In the same respect, the College, Campus, and University are also constantly evolving and policies may change from time to time that could result in an apparent conflict of policy and information. Should this happen, Campus and University policy should be followed.

Timothy L. Hottel, DDS, MS, MBA  
Dean  
July 1, 2009

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# **Guidelines for Faculty Appointment and Promotion**

## **General**

Appointment to the faculty of the College of Dentistry is based on the demonstration or promise of excellence in teaching, research/scholarly activity, patient care, and service. Consideration for promotion in academic grade is based on achievement in these same areas. In general, appointment to the faculty is limited to dentists, dental specialists, dental scientists, non-dentist biomedical scientists, and other non-dentists whose training and skills support dental education.

## **Regular and Special Appointments**

Two general types of appointments are available. “Regular” appointments pertain to the usual academic grades: Professor, Associate Professor, Assistant Professor, and Instructor. When an individual is given a “regular” appointment, no additional modifying words are added to the usual academic grade designation.

Regular appointments may be tenure track (full-time appointments only) or non-tenure track (full-time or part-time appointments).

The second type of appointment is referred to as a “special” appointment. In this case the usual academic grade designations (i.e., Professor, Associate Professor, Assistant Professor and Instructor) are still used but, in addition, an adjective is used to modify the appointment. For example, “special” appointments are indicated by the words “Affiliated,” “Volunteer,” or “Emeritus.” A further explanation of these terms can be found in the UT Memphis Faculty Handbook.

## **Appointment Consideration**

Faculty recruitment and searches are conducted according to College and University guidelines. Once a candidate for a position is identified, but before the employment offer is made, the academic grade of the initial appointment is considered.

Each candidate will be evaluated with respect to past performance in academic and research/scholarly activities appropriate to his/her field. Corroboration of the credentials of the candidate is necessary; documentation attesting to earned degrees, residencies, postdoctoral programs, fellowships, and other formal educational experiences is required. Once determined, the Chair of the department in which the appointment is to be made will consult the guidelines for academic grades and make a suitable recommendation to the Dean of the College. The candidate’s achievements readily identifiable in the traditional realms of academic endeavor (i.e., teaching, research/scholarly activity, patient care, and service) are the major factors used to determine the appointment grade.

The Dean of the College will consider the documentation and recommendation provided by the Chair and may consult the College of Dentistry Faculty Appointment, Promotion, and Tenure Committee for its review and recommendation.

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Ultimately, the Dean of the College makes a recommendation to the Chancellor regarding the academic grade appropriate for the candidate.

### **Guidelines for Academic Grades**

The academic ranks to be considered include Instructor, Assistant Professor, Associate Professor, and Professor. These ranks are presented as would normally occur with the evolution of a faculty member from an educated but inexperienced novice in academics to a skilled, experienced, and respected expert in academics. The criteria presented below should be used in considering the rank of initial appointment at this institution as well as criteria for consideration of promotion.

With regard to appointment, the criteria suggest that the initial appointment for a person with no prior or substantive academic involvement will most likely be at the Instructor or Assistant Professor level. An initial appointment at the Associate Professor or Professor level could be considered in the case of an individual who has a substantial record of prior experience in academics or other scholarly pursuits, and where the credentials of the individual indicate that the person has demonstrated extraordinary quality of effort. Further elaboration of faculty appointments is seen below.

With regard to promotion, the “Evaluation Point System” is the prime method of assessing a faculty member’s achievements and performance relative to their expected efforts in each of the University missions. Other factors considered include an assessment of the contributions of the individual to the overall development and goals of the institution and the specific department. Scholarly achievements readily identifiable in the traditional realms of endeavor of the faculty member (teaching, research/scholarly activity, patient care, and service) are the major elements considered when a promotion recommendation is evaluated.

In general, evaluation of an individual for appointment or promotion to senior rank is based on the nature of the individual’s prior responsibilities and previous allocation of effort. While some scholarly attainment is required for appointment or promotion to senior rank, individuals who have had a primary responsibility in clinical and didactic teaching will have an increased expectation of documentation of excellence in teaching, while those with primary responsibilities in the area of scholarly attainment, will be expected to have measurable research accomplishments.

Guidelines for appointment to the various ranks are as follows:

#### ***Instructor (UTHSC FH 5.1.4) (available to non-tenure track faculty only)***

1. Training
  - a. DDS degree or its equivalent; Ph.D. degree or its equivalent.
2. Potential
  - a. Commitment to continuing activity in at least two of the following University missions: teaching, research/scholarly activity, patient care, and service.
  - b. Have an excellent scholastic record as a student.

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- c. Demonstrate evidence of ability to relate effectively to students or professional colleagues.

The rank of instructor is generally considered tentative and transient. This rank assumes that the credentials of the individual are not yet adequate to judge whether the candidate will merit a more permanent faculty appointment; thus, appointment will be on an annual basis, with careful review of continuation each year.

A formal review of the accomplishments of the individual is to be undertaken at each yearly interval by the Chair, and one of three recommendations is to be made:

1. Promotion to Assistant Professor
2. Continuation at the same rank
3. Termination of the appointment.

Chairs are urged to consider a final decision on retention (and generally, thus, promotion) of an Instructor no later than three (3) years after the original appointment.

***Assistant Professor (UTHSC FH 5.1.3)***

1. Training
    - a. D.D.S. degree or its equivalent and the completion of an advanced educational experience in dentistry or relevant experience in clinical dentistry. For the biomedical scientist, a Ph.D. degree and completion of a relevant postdoctoral fellowship or experience in research.
  2. Potential
    - a. Potential for the development of excellence in teaching based upon student or peer group evaluations.
    - b. Promise of excellence in research/scholarly activity as determined by peer group evaluation. This evaluation should be based on documentation that indicates the potential for collaborative or independent research/scholarly activity leading to grant funding, presentations and/or publications.
    - c. Promise of excellence in patient care according to documentation of quality performance in an advanced dental education program and/or documentation of outstanding performance in patient care activities while in dental school or practice.
    - d. Potential for service to the department, College, University, or Community.
    - e. Have demonstrated ability to relate effectively to students or professional colleagues.
  3. Expected Effort
    - a. Non-tenure track: the faculty member is expected to devote continuing effort and activity in at least two of the following University missions:
      - i. Teaching
      - ii. Research or other Scholarly Activity
      - iii. Patient Care (if applicable)
      - iv. Service or Community Outreach
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- b. Tenure track: the faculty member is expected to devote continuing effort and activity in the University missions of Teaching and Research or other Scholarly Activity. In addition, continuing effort and activity is expected in at least one of the following University missions:
    - i. Patient Care (if applicable)
    - ii. Service or Community Outreach

The rank of Assistant Professor ordinarily follows from the completion of all relevant training, during which the candidate has already presented evidence that he/she has an adequate background to develop a career in academic dentistry.

Time spent in the rank of Assistant Professor is intended to be a period during which a new faculty member is given ample opportunity and guidance to develop teaching skills, further develop clinical skills (if appropriate), instigate a program of research/scholarly activity, and participate in the work of the department, College, or University through service on committees.

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*Associate Professor (UTHSC FH 5.1.2)*

1. Training
    - a. D.D.S. degree or its equivalent and the completion of an advanced educational experience in dentistry or relevant experience in clinical dentistry. For the biomedical scientist, a Ph.D. degree and completion of a relevant postdoctoral fellowship or experience in research.
  
  2. Accomplishment
    - a. Demonstrated effectiveness in teaching and promise of continued development. In teaching, accomplishments must include demonstrated ability to promulgate in-depth knowledge to students at all levels by various means and the ability to stimulate students to greater scholarship. This may be documented by evidence of the design and implementation of innovative methods of presentation and evaluation and continued updating of methods and materials. Such evidence must include peer and student evaluations and may include publications in educational journals and honors received.
    - b. Demonstrated excellence in patient care and promise of continued development. Relative to patient care, excellence must have been demonstrated by the application of progressive and innovative programs in patient care and the utilization of data collected in patient care in advancing clinical knowledge and technology. He/she should not only demonstrate superior scientific knowledge and proficiency in the technology of his/her field, but also should be skilled in techniques of health care delivery. Publications in appropriate clinical journals may also be considered as evidence of accomplishment relative to patient care. Where appropriate, progress toward board certification is evidence of achievement relative to patient care.
    - c. Demonstrated record in research/scholarly activity and promise of continued development as assessed by evaluation of peer groups and the Chair. Relative to research/scholarly activity, a strong record must have been demonstrated by:
      - i. conduct of independent research projects or assumption of major role in collaborative research as evidenced by being a principal investigator or a co-principal investigator, or
      - ii. publication of research/scholarly results in recognized, refereed journals, or
      - iii. demonstrated ability to generate funds for research support.
    - d. Demonstrated excellence in service and promise of continued development. Relative to service, excellence must have been demonstrated by committee and administrative involvement at the departmental, collegial, or institutional level.
    - e. Have demonstrated ability to relate effectively to students or professional colleagues.
  
  3. Expected Effort
    - a. Non-tenure track: the faculty member is expected to devote continuing effort and activity in at least two of the following University missions:
      - i. Teaching
      - ii. Research or other Scholarly Activity
-

- 
- iii. Patient Care (if applicable)
  - iv. Service or Community Outreach
  - b. Tenure track: the faculty member is expected to devote continuing effort and activity in the University missions of Teaching and Research or other Scholarly Activity. In addition, continuing effort and activity is expected in at least one of the following University missions:
    - i. Patient Care (if applicable)
    - ii. Service or Community Outreach
4. Academic Leadership
- a. Recognition by peers regarding overall academic accomplishments and value by election or appointment to scientific or professional organizations and groups where membership is honorable or selective.
  - b. Recognition outside the institution as documented by invited presentations, invited lectureships and similar activities.

A promotion to the rank of Associate Professor signifies considerable accomplishment in teaching, development of clinical skills (if appropriate), establishment of measurable research or other scholarly activity, and participation in the work of the department, College, or University through service. In addition to the accomplishment of these goals is the definite promise of continued productivity and development. Any recommendation for appointment or promotion to the rank of Associate Professor must be based on precise documentation.

### ***Professor (UTHSC FH 5.1.1)***

- 1. Training
  - a. D.D.S. degree or its equivalent and the completion of an advanced educational experience in dentistry or relevant experience in clinical dentistry. The candidate must also be board-certified if in a specialty area. For the biomedical scientist, a Ph.D. degree and completion of a relevant postdoctoral fellowship or experience in research is necessary.
- 2. Accomplishment
  - a. Enthusiastic, effective and devoted leadership in the educational sphere and recognition as an excellent and stimulating teacher as determined by peer and student evaluations. Demonstration of progressive teaching methods and materials, publications in the area of education, academic honors, and other notations of continued development and accomplishment are signals of the value of the faculty member.
  - b. Innovative and significant contributions in clinical dentistry which signify improved and progressive delivery of health care. Recognition of knowledge, skill, and expertise at the institutional level and a

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broader (regional and national) level should be evident. Demonstration of such regard could be provided through publications, presentations, certification, and other credentials which indicate that accomplishment with regard to patient care is recognized on a broad scale.

- c. Evidence of scholarly attainment based primarily upon evaluation by the Chair and peer group in the production of new information can be demonstrated by maintenance of an active program of research/scholarly activity for prolonged periods that have produced significant contributions to the profession through highly regarded research publications and continued attainment of research grant support. Evidence of scholarly attainment can also be demonstrated through the direct influence on young scholars who themselves have become productive and capable of independent investigation.
- d. Demonstration of excellence in service through contributions to academic life by service and leadership on College and/or UT Health Science Center academic committees, or distinguished contributions to non-academic community or other groups which may enhance the public image of the College and University
- e. Have demonstrated ability to relate effectively to students or professional colleagues.

### 3. Expected Effort

- a. Non-tenure track: the faculty member is expected to devote continuing effort and activity in at least two of the following University missions:
  - i. Teaching
  - ii. Research or other Scholarly Activity
  - iii. Patient Care (if applicable)
  - iv. Service or Community Outreach
- b. Tenure track: the faculty member is expected to devote continuing effort and activity in the University missions of Teaching and Research or other Scholarly Activity. In addition, continuing effort and activity is expected in at least one of the following University missions:
  - i. Patient Care (if applicable)
  - ii. Service or Community Outreach

### 4. Academic Leadership

- a. Recognition by peers regarding overall academic accomplishments and value by election or appointment to scientific or professional organizations and groups where membership is honorable or selective. Leadership of regional or national organizations is particular demonstration of respect and value of contribution.
- b. Recognition outside the institution such as through honors, invited professorships, invited written contributions, participation on NIH study sections or other peer review panels, and/or appointments to specialty boards as members or examiners.
- c. Recognition within the institution through involvement on a leadership level in administration and policy-making functions.
- d. National recognition by peers as an authority in his/her particular field of clinical or scientific endeavor.

Attainment of the rank of Professor is an indication that, in the opinion of colleagues,

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the individual has made and continues to make outstanding contributions in teaching, patient care (if appropriate), scholarly activity, and service; has achieved a high level of creative productivity in the academic arena; and, has earned national and perhaps international recognition. It should be stressed that promotion or appointment to this rank, or any other academic rank, is recognition of accomplishment and value rather than a reward for longevity of service. Any recommendation for appointment or promotion to the rank of Professor must be accompanied by extensive and explicit documentation.

### **Faculty Annual Evaluation for Evaluation for Promotion**

Evaluation involves a systematic collection, analysis, and interpretation of information about the activities and outcomes of an individual faculty by faculty peers and administrators to make judgments about specific and overall aspects of what and how this individual faculty is progressing toward agreed-upon goals and, more importantly, how he/she can improve performance. Evaluation for promotion is different from the annual evaluation though both use similar metrics.

One of the most important functions of a Chair is to maintain program excellence and to attract quality faculty. The Chair is obligated to assess the progress and performance of faculty members and to decide, with the appropriate advice from faculty peers, whether they should be promoted or rewarded for their past performance or apprised that their performance needs improvement.

The evaluation of each faculty member must be based on the minimum criteria for rank and the level of accomplishment of the goals and objectives that were agreed-upon at the time of appointment or at the last annual performance and planning review. Evaluations must specifically assess performance in each of the following missions: teaching, research/creative and other scholarly activities, along with, where applicable, patient care and university service/outreach.

In addition to individual efforts, each faculty member is expected to function as part of a departmental team and to demonstrate a sense of collegiality. As such, he/she should show an interest in the success of the department as a whole by accepting assignments, actively serving on departmental, college, University, or national committees; attending departmental/college functions; and actively participating in community-based service projects. In addition, each faculty member should demonstrate the ability to relate, cooperate, and interact well with peers. The value of such attributes is difficult to assess tangibly, but their importance is without question. Thus, the teaching, research/creative and other scholarly activities, patient care, and service/outreach activities are all important in assessing faculty performance.

#### *Activities Considered*

The activities outlined below are to be used as examples of criteria in evaluating all full-time tenured/tenure-track and nontenure-track faculty.

1. Teaching Performance

Examples of criteria that should be used to evaluate teaching performance are:

- a. Actively participates in the teaching of students (e.g., lecturing, laboratory, conferences, counseling).
- b. Communicates information and concepts in a clear and well organized manner.
- c. Provides timely updates to teaching materials.
- d. Accepts criticism and responds appropriately to feedback regarding quality and effectiveness of teaching.
- e. Maintains broad, detailed, and current knowledge of the subject matter
- f. Serves as a formal or informal mentor for students.
- g. Participates in interdepartmental/interprofessional teaching activities when requested.
- h. Experiments with new and innovative teaching approaches.
- i. Encourages innovation.
- j. Writes clear test questions designed to assess major concepts and prepare students for their professional careers.
- k. Provides evidence of the success of former students.
- l. Serves as a professional role model for students.

2. Research/Creative and Other Scholarly Activities

All faculty members at UTHSC are expected to contribute to their professional discipline by participating in research/ creative and other scholarly activities. Such activities can be broadly defined and encompass a wide range of activities, as can be seen in the examples below. The results of such activities must be disseminated to the wider community through discipline-specific/discipline-related publications. The table below lists the minimum number of such publications that is required for promotion.

**Minimum Number of Discipline-Specific/Discipline-Related Publications Required for Promotion<sup>1</sup>**

Track	Assistant to Associate Professor	Associate to Full Professor
Non tenure (clinicians, teachers)	2	5
Non tenure (researchers) <sup>2</sup>	5	10
Tenure Track/Tenured (clinicians, teachers)	5	10 <sup>3</sup>
Tenure Track/Tenured (researchers) <sup>2</sup>	10 <sup>4</sup>	20 <sup>4</sup>

Notes on Publications:

1. Totals reset to zero after each promotion and all must be in refereed journals
2. Researcher = 80% or more effort toward scholarly activity
3. One half or more of publications must have candidate as primary author
4. On half or more of publications should have candidate as primary author and on half or more of publications should be in national/international journals.

Examples of criteria that should be used to evaluate research/creative and other scholarly activities:

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- a. Demonstrates ability to conceive, execute, and report on research investigations (from grantsmanship to publication).
  - b. Exhibits a creative and innovative approach to research.
  - c. Publishes research in appropriate discipline-specific/discipline-related journals.
  - d. Collaborates with other faculty members in research projects.
  - e. Develops and disseminates practice guidelines and/or health policy briefs.
  - f. Publishes clinical case studies, reports for the lay press, patient brochures.
  - g. Shows continuity in research and perseverance in achieving research goals.
  - h. Obtains and maintains adequate external funding for scholarly activities.
  - i. Responds appropriately and in a timely manner to grant reviews.
  - j. Pursues opportunities to convert results of research into practical applications having societal or commercial value (e.g., obtains patents).
  - k. Serves as an invited expert at other institutions or scholarly groups.
  - l. Participates as an invited speaker for research symposia, seminars, and special lectures.

3. Patient Care

Examples of criteria that should be used to evaluate patient care effectiveness are

- a. Manages patient care responsibilities to meet agreed-upon expectations as to the numbers of patients/procedures expected in the discipline and in the particular setting.
- b. Provides clinical care that is viewed as competent by peers and other health care providers.
- f. Board certification and licensure where appropriate.

4. Service to the Department, College, University, and Community Outreach

Examples of criteria that should be used to evaluate service are

- a. Serves on departmental, college, and University committees.
- b. Serves on local, regional, national, or international committees.
- c. Serves on committees to review research grant proposals in the area of expertise (e.g., NIH, American Cancer Society, American Heart Association).
- d. Serves on editorial boards of journals or as a referee for manuscripts.
- e. Participates in department, college, and University activities (e.g., seminars, conferences, faculty meetings).
- f. Speaks to local/regional external groups (e.g., civic groups) on current issues in health care.
- g. Participates in departmental functions.
- h. Is a member of, and holds offices in, professional societies.
- i. Participates in interdepartmental/interprofessional teaching, research, and seminar programs.

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- j. Makes special contributions as recognized by peers and Chair.
  - k. Participates in local health care boards or provides leadership for local health-related volunteer organizations.
  - l. Serves on hospital and other health care organization boards and committees.
5. Tracks for Professor
- Examples of criteria that should be used to evaluate tracks for professor are
- a. Recognition of the candidate's value to the University at the national/international level, which may be obtained through leadership in national/international organizations, national/international invitations to speak or present continuing education, national funding of research projects, and/or high level publications in national/international journals.
  - b. Expected to be board certified if candidate is board eligible.

### ***Evaluation Point System***

1. General Statements Concerning the Point System
  - a. No promotion should be made solely based on points, although the point system defines a minimum level of accomplishment that must be met by the faculty of all colleges at the health science center. For each faculty member being considered for promotion, the department Chair must provide a letter of recommendation justifying the scores that are awarded and the promotion that is under consideration. For promotion to Associate or Full Professor, each candidate shall also be evaluated by the faculty within the department at or above the rank being sought and by at least three external (e.g., nonmembers of the UTHSC faculty) individuals who hold a rank (or equivalent position) comparable to that being sought and who have the relevant expertise for assessing the candidate's credentials. Important intangible aspects that are also included in the final assessment include the individual's loyalty, enthusiasm, courtesy, cooperativeness, and dedication to the department, the college, and the University.
  - b. Having achieved the required points, all candidates are still required to meet the specific, minimum career-track requirements of the rank to which they are seeking promotion.
  - c. To assist in the evaluation process, each candidate must provide an updated curriculum vitae and copies of annual faculty evaluations and reappointment letters received since the last promotion (see the Faculty Handbook, section 5.9, for a complete description of required materials for the promotion dossier). The candidates will also provide additional details as to their contributions in each assigned mission. For example, candidates will provide documentation of teaching activities, including the average number of contact hours/year and the types of teaching venues that were used. Similarly, candidates will list all service activities and provide an estimate as to the amount of time devoted to each activity. Research activities should also be documented by providing a synopsis of research interests and a list of all peer-reviewed and non peer-reviewed publications since the last promotion and a list of all funding that was obtained during that

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period. Where relevant, candidates will also provide some context for assessing patient care activities, listing agreed-upon goals such as panel size, number of weekly clinics and/or number of procedures expected, etc., and providing evidence that these goals were accomplished. In addition, if there was a substantive change in the percent effort devoted to the various missions since last promotion, the candidate shall describe the change and the timing for this change such that the metrics can be applied appropriately. Using this information, the departmental and the college promotion committees will score the accomplishments of the candidates in each mission relative to the percentage of effort devoted to each mission using the point system described below. This score will then be forwarded to the department Chair. The Chair, in turn, will take this summary into account during construction of the Chair's letter of support to the College's Appointment, Promotion and Tenure Committee.

The College Appointment, Promotion and Tenure will make a separate calculation of the candidate and if the two calculations (department and college) differ significantly, this discrepancy will be addressed in the summary letter from the College Appointment, Promotion and Tenure Committee to the Dean.

- d. Initial appointments at the rank of Assistant Professor shall not be subject to the metric system described below. Initial appointment at the rank of Associate and Professor, however, should utilize these metrics, and candidates for these appointments shall be expected to meet the levels of accomplishment required of current faculty seeking promotion.

## 2. Point Allocation

Each category (teaching, research/creative and other scholarly activities, patient care, and service/outreach) has a possible total of 9 points divided among three subcategories. Points for each subcategory should be awarded on a 0-3 scale (whole numbers only), where 0 reflects no contribution in a particular area, 1 reflects minimal contribution with respect to quality and quantity, and a score of 2 reflects moderate or satisfactory contributions with respect to quality and quantity. A score of 3 should be awarded only for exceptional contributions, both with respect to quality and quantity; when such score is awarded, it must be justified by statements in the Chair's letter and by the documentation provided by the candidates as part of their dossier. A similar review process should be used by the departmental and college Appointment and Promotion committees. See Appendix V for a sample template of the evaluation point system.

### a. Mission 1: Teaching (maximum of 9 points)

Examples of activities that should be considered in allocating points for teaching are shown below. The score for these activities should reflect both the effectiveness and the level of contribution in each of the following subcategories.

- i. Course Leadership: Course director, Clerkship coordinator, Residency training director; other formal teaching duties, e.g.,

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student and resident teaching in a clinical or practice setting, classroom or online education, laboratory teaching; research mentor/member of thesis or research oversight committees; Student advising

- ii. Acknowledged excellence in teaching: Student or peer evaluations; Teaching honors and awards; Awards to students mentored by faculty
- iii. Innovation in teaching: Major course revisions, curriculum redesign, introduction of new technologies in the teaching setting

b. Mission 2: Research/Creative and Other Scholarly Activities (maximum of 9 points)

Examples of activities that should be considered in allocating points for research/creative and other scholarly activities are shown below. The score awarded for these activities should reflect both the quantity of these activities as well as the quality of the contributions in this category.

- i. Publications: Peer-reviewed and nonpeer-reviewed articles in professional journals, textbooks, book chapters, health care articles for the lay press, etc.
- ii. Extramural funding: Grants from federal agencies (NIH, NSF, AHRQ, DOD, HRSA, etc.), foundations and institutes, pharmaceutical companies; training grants; interprofessional grants; other grants and contracts, or program/teaching grants
- iii. Other scholarly activities: Manuscripts under review, invited lectures, patents, licensing agreements, presentations at national/international meetings, submitted abstracts, featured presentations at grand rounds, at local or regional societies, or for local special interest groups, service on editorial boards (if used here, cannot be used in “Service”)

c. Mission 3: Patient Care (maximum of 9 points)

Examples of activities that should be considered in allocating points for patient care are shown below.

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- i. Productivity/patient load/scheduling: Evaluation based on RVU targets and other agreed-upon patient care goals with respect to numbers of new and returning patients, numbers of procedures, numbers of clinic sessions per week, etc.
  - ii. Quality of care and patient satisfaction: As evidenced by standardized evaluations carried out by practice setting, by evaluations of peers/other health care providers, by chart reviews, etc.
  - iii. Knowledge base for clinical care: Acquires and maintains board certification/licensure by regular participation in professional societies and in continuing education programs in his/her field and/or by participation in special training programs
- d. Mission 4: University Service/Outreach (maximum of 9 points)  
Examples of activities and material that should be considered in allocating points for service/outreach are shown below:
- i. Institutional service: Participation on committees for the UT system, Health Science Center, college, and/or department; presentation of continuing education programs for department, college, or campus; organization of seminar programs, coordination of searches for faculty, deans, senior administrators
  - ii. Professional service: Participation in local, state, regional, national, or international organizations or professional societies, service on editorial boards, as a reviewer for professional journals or funding agencies. (Note that service on editorial boards may be considered under service or research but cannot count for both).
  - iii. Community service/outreach: Presentations to civic groups or other local organizations, participating in outreach activities in area schools, organization and/or delivery of community health initiatives, providing clinical services in community settings (health care fairs).
- e. Scores for Promotion  
After careful review and assigning of points in the appropriate categories, the expectations for promotion are as follows:
- i. For promotion to Assistant Professor, the candidate must accumulate a total of 3.5 points if he/she does not have a clinical practice and 4.0 points if he/she has practice responsibilities.
  - ii. For promotion to Associate Professor, the accumulation of a minimum of 6 points is required from new/continuing activities since appointment or last promotion.
  - iii. For promotion to Professor, the accumulation of a minimum of 7.5 points is required from new/continuing activities since appointment or last promotion.
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Appendix V is an example template for calculating scores based on the evaluation point system.

## **Guidelines for the Award of Tenure (Based on UTHSC FH 4.1)**

### **Tenure Concept**

Tenure is a principle that protects the academic freedom of a full-time faculty member in an institution of higher education and prevents his/her dismissal without adequate cause and due process. Both tenured and non-tenured faculty members enjoy academic freedom in The University of Tennessee, however, should a non-tenured faculty member claim that non-reappointment represents a violation of his/her academic freedom, the burden of proof of a tenure violation rests with the faculty member; the burden of proof of cause for dismissal of a tenured faculty member rests with the University. The economic security enjoyed by those who have been awarded tenure is also significant and must be recognized for the benefit of both the faculty member and the University.

Tenure reflects the recognition of a faculty member's importance to the future of The University of Tennessee. Hence, tenure is awarded only by positive action of the Board of Trustees of the University of Tennessee upon recommendation of the President. The President's recommendation is based, in turn, upon that of the Chancellor, Dean, and Chair, in consultation with the candidate's tenured faculty peers.

The awarding of tenure is based not only on the individual's professional excellence but also includes consideration of the anticipated needs of the department, College of Dentistry, and University for the foreseeable future. Professional excellence is reflected in good teaching, scholarship or other creative work in the discipline, participation in professional organizations, willingness to contribute to the common life of the University, effective work with colleagues and students, and public service. The relative weighting of these factors in tenure determinations vary depending upon the mission of the particular academic unit and the characteristics of the individual.

A decision not to award tenure is in no sense a judgment of incompetence. Not all persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve the needs of the University's programs. The burden of proof that tenure should be awarded rests with the faculty member.

Tenure resides in a community of teachers/scholars competent to evaluate a candidate's professional contributions and to determine whether, on the basis of these past and potential contributions, he or she should be accepted as a permanent member of that community. Although the granting of tenure is an administrative decision that must be approved by the Board of Trustees, there shall be no positive recommendation for tenure without the required consultation with the tenured faculty of the unit to which the candidate belongs.

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## **Eligibility**

Tenure is only considered for faculty occupying regular, full-time academic positions. However, the current policy is that most new, full-time faculty members are hired in the College's clinical faculty track in order to promote faculty development. This is not to be viewed as a negative action by the College. Transfer to a tenure track is possible and is addressed below.

Tenure is an institutional responsibility of The University of Tennessee Health Science Center. Tenure also depends upon the needs of the department, program or College, the institution's goals and fiscal stability, and the candidate's present and potential value to the University.

If less than 30 percent of the individual's salary support from the University of Tennessee is derived from state funds during the initial period of appointment, ineligibility for tenure will usually be specified.

A faculty member who is in the probationary period with respect to tenure, and who subsequently accepts transfer to a program supported by a contract or grant, continues to accumulate time toward eligibility for consideration for tenure unless the letter of transfer states otherwise.

A faculty member who is in the probationary period with respect to tenure and who is absent in an approved capacity (such as official leave of absence or on a Faculty Development Grant), will not continue to accumulate time toward eligibility for consideration for tenure and will be so notified in the leave of absence document or Faculty Development Grant contract.

### ***Transfer to a Tenure Track***

A full-time faculty member may be transferred from a non-tenure track upon the recommendation of the Department Chair and subsequent approval by the Dean. This recommendation is usually made after the faculty member has had the opportunity to accommodate to his/her new environment and has established a personal research area. When this transfer occurs, the normal probationary period of six years begins. Extraordinary candidates may be eligible to a shortened probationary period if time has been spent in academic service prior to transfer. Shortened probationary periods must be agreed to, in writing, by both the University and the faculty member at the time of transfer.

Should the Dean feel that the transfer to tenure track is inappropriate, the Dean will communicate, in writing, with the Chair of the department and the candidate concerning the candidate's perceived shortcomings. The candidate can then assume addressing these concerns so that transfer to a tenure track can possibly take place in the future.

### ***Administrative Staff***

No one shall be eligible for tenure in an administrative position. When a faculty

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member with tenure, or who is eligible for tenure, is appointed to an administrative position, he or she may retain tenure or be granted tenure in the faculty position only. The letter of appointment to the administrative position shall state the faculty member's status with regard to tenure.

When a non-tenured faculty member accepts a part-time faculty position or an administrative position with the University, such service is not counted as part of the probationary period leading to consideration for tenure.

### **Ineligibility**

The following individuals are not eligible for tenure (and will be so notified in their initial Faculty Appointment Agreement forms and on the yearly reappointment letters): (a) part-time faculty members; (b) faculty who are appointed to positions funded from grants or contracts and who are notified in writing that such service is not applicable to consideration for tenure; (c) faculty holding a limited-term appointment; (d) individuals who are appointed to the University in administrative positions with academic rank and who are notified in writing that such service is not applicable to consideration for tenure; and (e) volunteer faculty or other categories of faculty who are not salaried through the University of Tennessee, Memphis. In terms of full-time faculty, normally tenure is not granted until an individual has completed at least one academic year at The University of Tennessee regardless of prior service or academic rank.

### **Interim Tenure Review (UTHSC FH 4.12.3.3)**

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. This two-part review will be conducted (a) by the tenured faculty in the department and (b) by the Chair at the same time as the Annual Performance-and-Planning Review. After reviewing each tenure-track faculty member's dossier (UTHSC FH 4.10.2), 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 tenured faculty members in attendance; 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. .

The purpose of the interim tenure review is to establish a mutual understanding between the faculty member and the departmental leadership regarding his/her progress towards attainment of tenure. A negative interim review does not preclude

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the award of tenure but should place the candidate on notice of deficiencies that must be corrected before tenure could be recommended. A negative review should be accompanied by a definite written plan whereby the faculty member can meet the departmental expectations that would allow a favorable recommendation at the end of his or her probationary period. Alternatively, an unfavorable review may lead to a notice of non-reappointment of the faculty member. This will be undertaken in keeping with guidelines and procedures outlined in the UTHSC Faculty Handbook 4.9, UTHSC Policy, and guidance provided in this document. A favorable interim tenure review does not commit the department or College to a subsequent recommendation for the award of tenure. At any time during the probationary period, the Chair may request that the tenured faculty review the faculty member's progress.

## **Process of Award**

### *Criteria for Tenure Decisions*

Criteria for tenure include performance in teaching, research/scholarly activity, creative activities, patient care (when applicable) and service. For tenure, the faculty member should be outstanding in one or more areas and satisfactory in the others. The following criteria are relevant to decisions governing the awarding of tenure. The list is not necessarily comprehensive, nor should it be assumed that the items are of equal significance, that each is essential for every individual under consideration, or that they are arranged according to relative importance.

1. Teaching effectiveness
2. Research accomplishments
3. Evidence of scholarship in written work and in teaching
4. Service to the community and the state
5. Staffing needs of the University
6. Professional degrees, awards, and achievements
7. Promise of professional growth
8. Advisory service to students
9. Direction of graduate student research
10. Professional activities
11. Membership and leadership in professional organizations
12. Participation in University sponsored programs
13. Ability to relate effectively to students and colleagues

### *Tenure Recommendations before Expiration of the Probationary Period ("Early Tenure")*

Presentation of a candidate by a Department Chair before the expiration of the candidate's probation period is possible but is reserved for only the most extraordinary candidates. Only rarely should a candidate, who has not completed 36 months with the College, be presented for early tenure. Early presentation does not relieve the Department of the necessary "Interim Tenure Review" at least one year prior to presentation.

When a Department Chair presents a candidate "early," it is with the knowledge that the consideration of tenure is done only once. Should the College Promotion and

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Tenure Committee arrive at a negative decision, with the Dean's approval, the candidate will then remain a full-time faculty member for only one additional year.

### ***Tenure Appointments and Awards (UTHSC FH 4.12.3.4)***

The University of Tennessee Board of Trustees adopted the following statement on the granting of tenure at its June 1971 meeting:

Tenure shall be granted only through positive action. No person shall attain or be granted tenure at the time of initial appointment or thereafter except upon the approval of the appropriate department Chair, Dean, Chief Academic Officer, Chancellor, the President of the University and the Board of Trustees.

Each regular full-time faculty member who is eligible for tenure, but is not tenured, is reviewed at appropriate intervals with respect to tenure. He or she will be given the opportunity to submit evidence relevant to the review of performance and future promise. A committee of tenured peers appointed by the Chair or Director of the academic unit will formally review the evidence and make a recommendation to the Chair or Director. In the case of a joint appointment, the committee shall include representatives of all departments or other academic units involved.

Tenure recommendations are made as follows (UTHSC FH 4.13): Recommendations are initiated within the department or academic unit and forwarded to the Chief Academic Officer of the College, who presents the recommendations to the College Promotion and Tenure Committee (CPT). The CPT forwards its recommendation to the Dean, who makes an independent judgment and subsequently forwards his/her recommendation to the UTHSC Chief Academic Officer, who, in turn, makes an independent recommendation and forwards it to the Chancellor who forwards his/her recommendation to the President of the University and, finally, the Board of Trustees. The results of the action of the Board of Trustees are transmitted from the President to the Chancellor and Dean who provide written notice of the awarding of tenure to the individual faculty member.

### ***Notification of Tenure Status***

Each faculty member, regardless of category, will be informed in writing of his or her individual status with respect to tenure at the following times:

1. The initial Faculty Appointment Agreement will give the status of the faculty member with respect to eligibility for consideration for tenure. If eligible, the latest date for consideration for award of tenure shall be given and, if not eligible for tenure, the reason for ineligibility shall be stated.
2. The yearly reappointment letters will also specify tenure status.

The Dean must inform a faculty member in writing of a change in eligibility for consideration for tenure that may occur.

### **Reappointment**

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All faculty members, whether tenured, probationary, or on a non-tenure track, are appointed on an annual basis by placing their names in the budget approved by the Board of Trustees. However, the University's obligation to continue such appointments in future years extends only to tenured faculty members.

## **Administrative Changes**

### ***Reorganization***

Reorganizations that result in the merger or division of academic units do not affect the tenure or probationary status of the faculty involved. In particular, tenured faculty members affected by the reorganization will have tenure in that new unit to which they are assigned.

### ***Transfer or Reassignment***

Should a non-tenured faculty member transfer from one academic unit 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, including possible credit for prior experience, in establishing the length of the new probationary period. All conditions relating to the new probationary period must be documented and accepted, in writing, by the transferring faculty member.

A faculty member who is awarded tenure and who is assigned subsequently to a program supported by a contract or grant does not lose his or her tenure status.

Should a tenured faculty member voluntarily transfer 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 academic unit 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 of tenure between academic units on the same campus do not require Board approval, but must be approved by the responsible campus administrators in consultation with the tenured faculty of the receiving unit, with notification of the Board of Trustees. 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.

When a tenured faculty member accepts a part-time faculty position or an administrative position with the University, neither of which can carry tenure, the faculty member retains tenure in the department in which he or she was previously based.

## **Termination of Tenure**

The services of tenured or non-tenured faculty members may be terminated because of (1) resignation; (2) death; (3) retirement; (4) discontinuance of a program or function; (5) extraordinary circumstances due to financial exigencies; or (6) adequate cause.

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When a tenured faculty member resigns his or her position or fails to return to the University following an approved leave of absence, tenure is terminated.

***Extraordinary Circumstances (UTHSC FH 7.1.3)***

According to the Board's policy, in the case of academic program discontinuance, the termination of tenured faculty may take place only after consultation with the Faculty through appropriate committees of the department, the college, and the Faculty Senate. When termination of a tenured faculty appointment is based upon discontinuance of a program or function at UT Memphis, the Administration shall seek appropriate faculty discussion in arriving at such decisions, unless this decision is made by an authority outside The University, and shall exert every effort to make suitable reassignments of personnel. In every case of discontinuance of a program or department of instruction, resulting in termination of appointment, the tenured faculty member concerned will be given notice as soon as possible, and never less than twelve months notice or twelve month's salary.

According to the Board's policy, if termination of tenured faculty positions becomes necessary because of financial exigency or academic program discontinuance, the UT Memphis Administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member. The position of any tenured faculty member displaced because of financial exigency or academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer.

***Adequate Cause (UTHSC FH 7.2)***

Adequate cause refers to the types of permissible reasons for termination of the employment of a tenured faculty member. Adequate cause includes the following and similar types of reasons:

1. Category A: Unsatisfactory Performance in Teaching, Research, or Service
  - a. failure to demonstrate professional competence in teaching, research, or service;
  - b. failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to: (1) failure to comply with a lawful directive of the Chair, Dean, or UT HSC Chief Academic Officer with respect to the faculty member's duties or responsibilities; or (2) inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;
  - c. loss of professional licensure if licensure is required for the performance of the faculty member's duties; or with respect to Health

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- Sciences faculty, failure to be granted or loss of medical staff membership and privileges at affiliated teaching hospitals; or
- d. dishonesty or other serious violation of professional ethics or responsibility in teaching, research, or service; or serious violation of professional responsibility in relations with students, other faculty members, employees, or members of the community.

2. Category B: Misconduct

- a. failure or persistent neglect to comply with University policies, procedures, rules, or other regulations, including but not limited to violation of The University's policies against discrimination and harassment;
- b. falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;
- c. theft or misappropriation of University funds, property, services, or other resources;
- d. admission of guilt or conviction of: (1) a felony; or (2) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration; or
- e. any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.

Procedures for termination due to adequate cause are outlined in the UTHSC FH 7.3.1, 7.3.2 and 7.3.3.

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## Appendix A: Template for Initial Appointment Letter

1. Official appointment is made by letter from the Chair and the Dean. The appointment letter must specify the following:
  - a. Academic Rank
  - b. Base salary and any additional compensation related to administrative duties or research activities. Faculty who are jointly employed by another entity, such as the UDP (University of Dental Practice), will receive separate communication from that entity describing the duties to be performed and the compensation to be received from that entity.
  - c. Specific career track (tenure or nontenure).
  - d. Probationary status for tenure-track appointments indicating annual notification of retention status and progress toward tenure and promotion.
  - e. The academic year during which a tenure decision must be reached.
  - f. Percentage of effort in each of the four missions, general duties, specific expectations; the total effort, including effort devoted to outside entities, cannot exceed 100%.
  - g. The home department, in the case of a joint appointment.

Previous correspondence between the department Chair, Dean, Division Chief, Director, and prospective faculty member concerning these matters is unofficial and not binding on the University.

2. Written acceptance or signature on the appointment letter by the prospective faculty member, together with the execution of normal University employment forms and the Faculty Appointment Agreement form, completes the agreement of employment between the University and the new faculty member.
3. All full- and part-time faculty appointments are normally made for a 12-month period.

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## **Appendix B: Procedures for Initiation and Processing Recommendations for Appointment to the Faculty**

1. A recommendation for appointment to the faculty of the College of Dentistry is ordinarily initiated by the Chair of the department to which the faculty member will be appointed. If a faculty member is to be appointed jointly in two or more departments, the Chairs of all departments in which appointment is requested must submit such nominations, individually or jointly. Appointments may be made at any time during the academic year. The academic grade of the initial appointment will be determined by mutual agreement among the departmental Chairs, the faculty candidate, and the Dean of the College of Dentistry. The guidelines for appointment at any given rank are those stated previously.
2. When the departmental Chair submits a nomination for any new appointment to the Dean, the following additional documents must be submitted:
  - a. Certified copies of the documentation of relevant degree.
  - b. An up-to-date curriculum vitae constructed according to a suitable format.
  - c. Two supporting letters of recommendation

[For candidates who have previously held faculty or training positions at UT or affiliated institutions, faculty at UT HSC may author the letters. For candidates who seek to join UT Memphis from another institution, the letters should be from that institution or other sources outside UT HSC. For potential faculty members who are non-dentists and who are being considered for their first faculty appointment or who have completed their highest degree within the past three years, one of the letters of recommendation should ordinarily be from the major professor supervising the award of the degree. Appointment letters should be submitted by individuals who hold a faculty rank equal or greater to that which the individual seeks appointment. Additional letters, beyond the required two, from UTHSC or external faculty, may be submitted at the discretion of the departmental Chair.]

- d. For faculty whose native language is not English, a completed “Certification of Effective Communication in English.”

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## **Appendix C: Procedures for Initiation and Processing Recommendations for Promotion and Award of Tenure**

### **Procedural Steps**

1. A recommendation for promotion or tenure is ordinarily initiated by the Chair of the department in which the faculty member is appointed. An individual faculty member has the privilege of requesting his/her own promotion or award of tenure. Such a request should conform to the relevant stipulations of this document, and it should be directed ordinarily to the departmental Chair. In the case of a faculty member who holds a joint appointment in two or more departments, promotion may take place in one department without its occurrence in the other department(s). In any case, the Chairs of all departments in which a promotion is requested must submit nominations, either individually or jointly. The Chair of the jointly appointed faculty member's base department recommends award of tenure, although tenure is an institutional responsibility.
2. When considering the award of tenure, the department Chair is required to form a tenure advisory committee consisting of tenured members of the faculty. When considering promotions, the department Chair will form a promotion advisory committee with members of equal or greater rank that to which the individual seeks promotion. The faculty peers will review the dossier and meet for the purpose of recording a formal vote on the recommendation for promotion in rank (UTHSC FH 5.9.1). 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 (UTHSC FH 4.3.2). The faculty peers' report to the Chair shall contain the following: a list of the faculty peers in attendance, the majority and minority views, if relevant, and the summary vote.
3. The Chair of the department reviews and considers the recommendations of the departmental advisory committees. After deliberation, the Chair then formulates a letter according to an acceptable format to be forwarded to the Dean of the College. In a case in which the award of tenure is not recommended, the Chair prepares a letter in which he or she states the reason(s) for the non-recommendation and forwards the letter to the Dean. If the Chair does not recommend promotion, he/she must inform the candidate in writing of the decision, stating that the faculty member may appeal the negative decision to the Dean. Should the Chair nominate a candidate for promotion or tenure over the objections of the departmental advisory committees, this fact must be noted in the nominating letter and the reasons for the Chair's action should be indicated. Whenever the recommendation of the Chair differs from that of the departmental faculty advisory committee, the Chair must notify the faculty peer committee who may meet again to consider whether a dissenting report should be developed, forwarded to the Department Chair, and subsequently to the Dean. In the case of nomination for award of tenure, the Chair, in his/her letter of nomination, shall include a summary of the opinion of the departmental advisory committee regarding the tenure recommendation. If no departmental promotions or tenure advisory committee can be formed (because of the small size of the department or lack of tenured faculty), the Chair formulates the letter

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recommending promotion or award of tenure on the basis of his/her best judgment.

4. The Chair will forward to the Dean the following:
  - a. A letter of recommendation written by the Chair and constructed according to the format suggested.
  - b. An up-to-date curriculum vitae constructed along the lines of the format suggested.
  - c. Letters of support. The number and nature of support letters submitted to the Dean is explained below

### **Number of Letters**

For any recommendation for promotion or tenure, a minimum of two letters are required, while a maximum of six letters may be submitted.

### **Qualifications of the Authors of the Support Letters**

For any recommendation for promotion or tenure, individuals whose rank and tenure status equals, or is higher than, that of the proposed rank and tenure status of the candidate must submit the required letters of endorsement. Exceptions will not be made for these requirements. Supplemental letters (i.e., beyond those required) are not restricted according to rank or tenure status and may come from individuals not associated with academics.

### **Academic Association of the Authors of the Support Letters**

For any recommendation for promotion to Assistant Professor, it is appropriate for some of the required letters of support to emanate from faculty in the candidate's department or colleagues in the College. While not required for consideration of promotion to Assistant Professor, extramural letters of support from individuals associated with the campus, community, region, nation, or in foreign countries can be used to supplement the nomination.

For any recommendation for promotion to Associate Professor, it is appropriate for the required letters of support to emanate from faculty in the candidate's department or colleagues in the College. While not required for consideration of promotion to Associate Professor, extramural letters of support from individuals associated with the campus, community, region, nation, or in foreign countries might be desirable to supplement the nomination.

For any recommendation for tenure, the required letters of support must emanate from faculty in the candidate's department, colleagues in the College, and from extramural sources (i.e., individuals associated with the campus, community, region, nation, or in foreign countries). The award of tenure implies that some degree of local, regional, national, and international recognition is developing or has developed; the letters of support should provide evidence that such is the case.

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For any recommendation for promotion to Professor, the required letters of support must emanate from faculty in the candidate's department, colleagues in the College, and from extramural sources (i.e., individuals associated with the campus, community, region, nation, or in foreign countries). A promotion to Professor implies some degree of national or international recognition; the letters of support should provide evidence that such is the case.

Exceptions will not be made for these requirements.

### **Process for Solicitation of Letters**

The candidate and the Chair will discuss the acquisition of letters, but all letters are solicited and received by the Chair, not the candidate. The candidate may suggest names of individuals to be asked to write support letters, but the decision as to who are asked to write support letters will be determined by the Chair. The Chair will send a solicitation letter to each person who is being asked to write a letter of support. The Chair's solicitation letter should include information on the rank or tenure status being proposed, a request for the author to assess the candidate's teaching, research/scholarly activity, patient care, and service contributions, and direct the author of the support letter to only comment on contributions about which the author is familiar; a current curriculum vitae should be included with the Chair's solicitation letter.

### **Additional Items**

The following additional items must be submitted: 1) The initial appointment letter and annual reappointment letters with all information related to salary or income completely obscured; 2) Annual accomplishments and goals, written by the candidate, since accepting a tenure-track faculty appointment at UTHSC; and 3) Summaries of Annual Performance-and-Planning Reviews, written by the Chair and the faculty member's responses, if any, that correspond to the annual accomplishments and goals of item 2 above, and 4) Letter from the faculty peer committee.

If the recommendation includes consideration for tenure, documents pertaining to the candidate's Interim Tenure Review, if performed, must also be submitted.

### **Other Supporting Materials**

Books, journal articles, videotapes, job descriptions, appointment letters, annual activity reports, student assessments, course syllabi, course handouts, other instructional materials, and so on, may be supplied for consideration within the College. Any materials that the candidate thinks will help the Departmental or College Faculty Appointment, Promotion, and Tenure Committee, and/or the Dean of the College in their consideration should be submitted. These additional supporting materials, however, may not be needed for campus consideration.

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## Completion of the Submission Process

1. Materials forwarded to the Chief Academic Officer of the College should be placed in a sturdy binder so that the materials are protected during handling and reading. Pertinent sections should be labeled and indexed. The design of the promotion and/or tenure packets is left to the candidate and Chair; they need not be elaborate.
2. All recommendations and supporting documents will be forwarded by the departmental Chair to the Chief Academic Officer of the College by the stipulated annual deadline.
3. Each recommendation will be presented to the College Promotion, and Tenure Committee. The Committee will make a positive or negative recommendation on each nomination to the Dean of the College. The recommendation of the Committee will represent the will of the majority of the membership, but minority views may also be transmitted. 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.
4. The Dean will make a decision on each recommendation based on the advice of the Faculty Appointment, Promotion, and Tenure Committee, Chair, Faculty Peer Committee and his/her personal knowledge of the candidate and on the basis of other circumstances. On those positive recommendations in which the Dean concurs, he/she will so advise the Chair making the recommendation. The recommendation with appropriate supporting documents will then be forwarded to the Campus Chief Academic Officer for further consideration.
5. If the Faculty Appointment, Promotion, and Tenure Committee renders a negative recommendation and if the Dean concurs in rejecting the nomination, 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 appeal a negative decision through the Faculty Senate (Promotion, UTHSC FH 5.9.4 and 6.3) or Chief Academic Office (tenure, UTHSC FM 4.13.3). The ultimate decision concerning the recommendation for promotion or award of tenure to the Chief Academic Officer and Chancellor is the responsibility of the Dean of the College.

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## Appendix D: Procedures for Effecting a Promotion in Rank

1. Promotion process initiated (July – September).
    - a. By Chair - recommends faculty member, or,
    - b. By faculty member - informs Chair that he/she requests to be candidate for promotion.
      - (1). Chair informs Academic Dean of candidate.
  2. Candidate compiles dossier (September) including
    - a. Current *curriculum vitae*
    - b. Initial appointment letter and all reappointment letters
    - c. Goals and accomplishments relevant to period related to this promotion (annual report)
    - d. Annual performance assessments
    - e. Maximum of 6 letters of evaluation
    - f. Other useful information
  3. Departmental Peer Committee (DPC) Convenes (October – November)
    - a. Promotion to Assistant Professor: Representative full-time Departmental faculty ranked Assistant Professor or higher.
    - b. Promotion to Associate or Full Professor: All full-time faculty at or above requested rank and representative part-time faculty.
    - c. Reviews *dossier*.
    - d. Records a formal vote using the Evaluation Point System and compares result with metric provided by Office of Vice Chancellor of Academic Affairs / Chief Academic Officer.
    - e. Sends report to Chair indicating members in attendance, majority and minority views (if relevant), and summary vote.
  4. Chair's Recommendation (January)
    - a. Chair completes Forms as supplied by Chief Academic Officer.
    - b. If positive recommendation from DPC, chair completes letter of nomination into the *dossier* including
      - (1). Name
      - (2). Date of original UT appointment
      - (3). Date of any prior promotion
      - (4). Promotion effective-date
      - (5). Discipline or field
      - (6). Accomplishments
      - (7). If disagreeing with a negative recommendation from department committee, must state reasons
      - (8). If early-promotion request, provides justification
    - c. If negative recommendation from DPC, Chair informs candidate of reasons for non-recommendation and informs candidate of right of appeal to Dean.
    - d. Chair forwards Forms supplied by Chief Academic Officer and all attachments to College Academic Officer by required date in January.
  5. College Academic Officer convenes College Promotion and Tenure Committee (CPT) (February).
    - a. Only CPT members who are at the academic rank being sought (or higher)
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review materials are eligible to participate. Using the Evaluation Point System, CPT members rate the candidate in comparison to the criteria from the Office of the Vice-Chancellor for Academic Affairs / Chief Academic Officer.

- (1). Positive recommendation is forwarded to Dean.
  - (2). Negative recommendation is forwarded to Dean and Chair.
    - A). Chair may appeal to Dean.
6. Dean reviews all recommendations (Department Committee, Chair, and College AP&T Committee) and makes independent recommendation (early April).
    - (a). If positive recommendation, advises Chair and forwards to UT Memphis Chief Academic Officer (CAO).
    - (b). If negative recommendation, notifies candidate and Chair, explaining candidate's right to appeal to Faculty Senate.
  7. Chief Academic Officer (CAO)
    - (a). Reviews recommendations from Dean.
    - (b). Makes independent recommendation.
    - (c). Forwards recommendation to Chancellor.
  8. Chancellor reviews recommendations from CAO during April and makes independent recommendation.
    - (a). If positive recommendations, forwards to President.
    - (b). If negative recommendation, returns to College Dean
  9. President
    - (a). Forwards positive recommendations to Board of Trustees.
    - (b). Sends candidates written notice of promotion effective date.

## **Appendix E: Procedure for the Final Probationary Review for the Award of Tenure**

1. Candidate compiles dossier, including
  - a. Current *curriculum vitae*
  - b. Initial appointment letter and all reappointment letters
  - c. Goals and accomplishments since at UT (annual report)
  - d. Annual performance assessments
  - e. Interim review report
  - f. Maximum of 6 letters of evaluation
  - g. Other useful information
2. Departmental Tenure Committee (all department tenured faculty members)
  - a. Reviews *dossier*
  - b. Records a formal vote taking into account the criteria for tenure.
  - c. Sends report to Chair indicating members in attendance, majority and minority views (if relevant), and summary vote.
3. Chair's Recommendation
  - a. Chair completes Forms supplied by Chief Academic Officer.

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- b. If positive recommendation, completes letter of nomination including
    - (1). Name
    - (2). Date of original UT appointment
    - (3). Date of any prior promotion
    - (4). Tenure effective-date
    - (5). Discipline or field
    - (6). Accomplishments
    - (7). If disagreeing with a negative recommendation from department committee, must state reasons.
    - (8). If early-tenure request, provides justification.
  - c. If negative recommendation, Chair gives candidate a letter of non-recommendation stating the reasons for the decision.
  - d. If Chair disagrees with department committee, Chair notifies department Tenure Committee.
    - (1). Department Tenure Committee meets and decides whether to submit a dissenting report.
  - e. Forwards Form supplied by Chief Academic Officer and all attachments to Collegiate Academic Officer by required date in January.
6. College Academic Officer or Dean convenes College Promotion and Tenure Committee (CPT).
    - a. Tenured CPT members review materials with regard to the criteria for tenure and record their vote.
      - (1). Positive recommendation is forwarded to Dean.
      - (2). Negative recommendation is forwarded to Dean and Chair.
        - a). Chair may appeal to Dean.
  7. Dean reviews all recommendations (Departmental Committee, Chair, CPT) and makes independent recommendation (early April).
    - (a). If positive recommendations, advises Chair and forwards to UT Memphis Chief Academic Officer (CAO).
    - (b). If negative recommendations, notifies candidate and Chair, explaining candidate's right to appeal to CAO.
  8. Chief Academic Officer (CAO)
    - (a). Reviews recommendations from Dean.
    - (b). Makes independent recommendation.
    - (c). Forwards recommendations to Chancellor.
  9. Chancellor reviews recommendations from CAO during April and makes one of four independent recommendations:
    - (a). If positive recommendation, forwards to President.
    - (b). If reversing a negative recommendations, informs Dean, Chair and candidate.
    - (c). If negative recommendation, advises Dean (who will advise candidate of appeal process).
    - (d). If reversing a positive recommendation, meets with Dean (and possibly Chair and candidate) to explain action.
  10. President
    - (a). Makes independent recommendations.
    - (b). Forwards positive recommendations to Board of Trustees and sends
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- candidate written notice of promotion effective date.
- (c). Notifies Chancellor of any negative recommendations.

## **Appendix F: Procedure for Interim Probationary Reviews for the Award of Tenure**

### **Introduction**

This two-part procedure is completed by

1. the tenured faculty in the department (or division) or the College Promotion and Tenure Committee (if the Department does not have 3 tenured faculty).
2. the Chair at the same time as the Annual Performance-and-Planning Review.

Time of the interim probationary review depends on the length of the probationary period.

1. If the probationary period is four years, the Mandatory Interim Review occurs in the second year.
2. If the probationary period is five, six, or seven years, the Mandatory Interim Review occurs during the third year.

### **Procedure**

1. Chair counsels faculty member to prepare dossier that must include
  - a. Current *Curriculum Vitae*, in the form required by The College of Dentistry.
  - b. The initial appointment letter and annual reappointment letters with all figures related to salary or income completely obscured.
  - c. Annual accomplishments and goals, written by the candidate, since accepting a tenure-track faculty appointment at UT Memphis Health Science Center.
  - d. Summaries of Annual Performance-and-Planning Reviews, written by the Chair and the faculty member's responses, if any, that correspond to the annual accomplishments and goals.
  - e. Optional inclusions include
    - (1). Sample publications
    - (2). Summaries of student teaching evaluations
    - (3). Other indicators of teaching performance
  - f. Letters of evaluation (maximum of 6).
2. Tenured Faculty Committee (or CPT if there are not three tenured faculty members in department)
  - a. Reviews *dossier* and votes on progress toward tenure. Majority quorum is 50% of eligible tenured faculty.
  - b. Prepares report to Chair with a list of the tenured faculty members in attendance; all suggestions; the majority and minority views, if relevant; and the summary vote.

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3. Chair requests from each probationary faculty by May
    - a. a summary of activities and accomplishments for the previous academic year beginning July 1
    - b. a summary of the faculty member's proposed academic goals for the year beginning July 1
  4. Chair must meet with the faculty member during May to
    - a. Review the faculty member's performance in achieving previously established academic goals during the probationary period, including the preceding academic year in teaching, research/scholarly activities, service, and/or patient care
    - b. Present and discuss the tenured faculty's report.
    - c. Receive the work assignment for the coming academic year.
    - d. Mutually establish the academic goals to be achieved by the faculty member during the coming.
    - e. Discuss the faculty member's progress toward tenure consideration.
  5. Chair assesses the overall performance of the faculty member and assigns one of the performance ratings (outstanding, highly satisfactory, satisfactory, needs improvement, unsatisfactory).
  6. Chair prepares a narrative summary, including the progress toward tenure, an assessment in each category, and expectations for the next academic year.
  7. Chair presents the narrative summary and form supplied by Chief Academic Officer to the faculty member.
    - a. Faculty member's optional response must be made in 5 days
    - b. If performance is deemed as "needing improvement" or "unsatisfactory" a remedial plan must be developed by the Chair in consultation with the candidate.
  8. Chair sends Dean a summary letter of the committee recommendation and goals)

## **Appendix G: Preparation of a Proposal Letter for Promotion and/or Tenure**

A letter nominating a faculty member for promotion or award of tenure must include the following background information:

1. Name of individual
2. Date of original appointment
3. Date of each prior promotion, if applicable
4. Date of award of tenure, if applicable
5. Date on which promotion or tenure is to become effective
6. Individual's discipline or field
7. Other relevant information as outlined below

In preparing the letter, the Chair should be aware that the letter of commendation will be read by members of the College Appointment, Promotion, and Tenure Committee,

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other appropriate individuals associated with The University of Tennessee, and may be read by the candidate.

The following outline describes some examples of important, specific information about which a department Chair will be more knowledgeable than the Faculty Appointment, Promotion, and Tenure Committee. Providing this and other academically-related data is needed for a fair and detailed evaluation by the College Appointment, Promotion and Tenure Committee and may be of decisive value.

Each item noted below may not be applicable to every faculty member. Therefore, all items contained herein need not be addressed; items listed serve only as a guide to aid the Chair in considering and compiling the information to be contained in the proposal letter. The format for the departmental Chair's letter recommending promotion and/or tenure is included in the Appendix H.

1. Background (listed above)
2. Teaching
  - a. Specific role(s) in curriculum and/or course planning, active participation in teaching students, and active participation in continuing educational activities.
  - b. Peer review of nominee's teaching performance.
  - c. Information derived from students regarding teaching competence and effectiveness.
  - d. Special teaching accomplishments and skills such as founded a course or developed a manual, innovative seminar or conference leadership, and teaching awards.
  - e. Special contributions, such as invited participation in conferences of other departments or divisions.
  - f. National educational activities, such as editor on editorial board of or expert consultant to refereed publications.
  - g. Visiting professorships, named lectureships, significant participation in educational programs or dental societies.
  - h. Academic rank and educationally related accomplishments at other institutions in which previously appointed.
  - i. Individual honors and recognitions.
3. Research/Scholarly Activity
  - a. Specific accomplishments and significance thereof, keyed where possible, to specific published work.
  - b. Number and names of trainees and their accomplishments in mentor's laboratory or program and accomplishments after graduation.
  - c. Grant support, including area of investigation, candidate's role in the projects, and duration of support.
  - d. Work in progress.
  - e. Research/Scholarly publications
    - (1). Denote publications that are particularly significant and contribute to the knowledge of a field or specialty.
    - (2). Denote the candidate's role as co-author.
    - (3). Identify the status of journals and other publications to which the

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- candidate has contributed.
- (4). Indicate papers or other contributions under review or accepted for publication.
  - (5). Indicate activity in presenting research/scholarly activity at meetings in which abstracts of the work are published.
  - (6). NIH Study Section or equivalent extramural appointments.
  - (7). Individual honors and recognitions
4. Patient Care
    - a. Document significant clinical accomplishments, such as development of new or improved methods of practice or the administration related thereto.
    - b. Peer status, including Board specialty certification and recognition as a departmental expert.
    - c. Individual honors and recognition.
  5. Service and Administrative Responsibilities
    - a. Role in various departmental committees.
    - b. Role in various College committees and subcommittees.
    - c. Role in UT Memphis committees or activities.
    - d. Significant administrative responsibilities, especially those that may not be well known outside the department, for example
      - (1). Deputy chair, division director, program director.
      - (2). Director and/or developer of departmental units or special clinics.
      - (3). Role in departmental, college, University, or extramural administrative activities.
  6. Other Individual Activities and Accomplishments
    - a. Significant election to a professional organization, noting status of the society in the field and criteria for election.
    - b. Activities in societies, foundations, or similar local, regional or national professional organizations, noting offices held and whether committee member or chair.
    - c. Special awards from universities, societies, or other groups.
  7. Effect of the Appointment, Promotion, or Tenure on the Department
    - a. Relate to other faculty at the same rank and tenure status.
    - b. Relate to the major mission of the department.
    - c. If recommendation is successful, note the effect on the department.
    - d. If recommendation is unsuccessful, note the effect on the department.
  8. Summary of the Departmental Promotion and Tenure Committee's Assessment Using the "Evaluation Point System" (for promotion only), and whether or not the Chair concurs with the Departmental Committee's summary.

If there has been a substantial change in the candidate's percent effort in the various University missions over the time period being considered, it would be appropriate for the Chair to address this issue and suggest a set of percentages to be applied by the College Committee as a part of the Chair's letter of support.

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## **Appendix H: Suggested Format of Departmental Chair's Letter to the Dean of the College Recommending Promotion and/or Tenure**

Dear Dean (Name):

I recommend (name) for promotion to the rank of (rank) in the (department). I also recommend that (name) be awarded tenure in the College of Dentistry. In support of this recommendation, I attach a current *curriculum vitae* and submit the following supporting information:

- A. Background
  - Name of individual
  - Date of original appointment
  - Date of each prior promotion, if applicable
  - Date of award of tenure, if applicable
  - Date on which promotion or tenure is to become effective
  - Individual's discipline or field
  
- B. Teaching.
  - [Detail all teaching responsibilities and assignments, as applicable. Evaluate performance in each, including interactions with students.]
  
- C. Research and Other Scholarly Activity.
  - [Detail research/scholarly activities and accomplishments. Evaluate past performance and significance of accomplishments. Project future accomplishments and potential.]
  
- D. Patient Care.
  - [Detail responsibilities, as applicable. Evaluate performance.]
  
- E. Service and Administrative Responsibilities.
  - [Detail responsibilities, as applicable. Evaluate accomplishments.]
  
- F. Other Activities and Accomplishments.
  - [Detail additional activities that relate to this recommendation. Evaluate accomplishments.]
  
- G. Effect of this Appointment, Promotion, or Tenure on Department.
  - [Evaluate the overall effect of this appointment on the department and its mission. Include number of faculty members presently appointed in this rank and the number tenured.]

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## **Appendix I: Suggested Format for Preparation of *Curriculum Vitae***

**Note:** This format is intended as a guide. Names of categories may be changed as needed by individuals. Not all categories may be applicable to all individuals; inapplicable ones should be omitted. The list of categories is not all-inclusive; some individuals may need to add other categories.

Date of Preparation \_\_\_\_\_

### *CURRICULUM VITAE*

NAME:

DEPARTMENT:

EDUCATION:

Undergraduate:

College or university attended, dates, degree, date of degree

Graduate/Professional School:

College or university attended, dates, degree, date of degree

Internship/Residency: Type, hospital(s), dates (inclusive months, years)

Postgraduate Training Type, hospital(s), dates (inclusive months, years)

Other college or school attended (inclusive months, years)

BOARD CERTIFICATION:

Board name, date of certification

UNIVERSITY (AND COLLEGE) APPOINTMENTS:

Chronological order from most recent to earliest including type and rank of appointment, University or College name, location, dates (inclusive months, years)

HOSPITAL/CLINICAL APPOINTMENTS:

Chronological order from the most recent to earliest including name of institution, type of appointment, (active, consultant), offices held

TEACHING EXPERIENCE:

Course number, title of course & dates

COMMITTEES AND OFFICES HELD:

Include dates of service. These may be subcategorized by departmental and institutional committees, grant advisory committees, study sections, journal review assignments, offices held in organizations, national and regional committees and offices, consultant appointments and board examiner or member appointments, etc.

VISITING PROFESSORSHIPS AND INVITED LECTURES:

List dates and locations. May be subcategorized as international, national, regional, or local as appropriate.

EDITORIAL APPOINTMENTS:

Books, journals - Type of appointment; Name of book/journal, publisher, dates of appointment or date of publication

FELLOWS/GRADUATE STUDENTS TRAINED:

Name; degree; inclusive dates; degree awarded, if any, as a result of this training; title of thesis or dissertation and may be subcategorized by institution.

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**RESEARCH AND OTHER EXTERNAL SUPPORT:**

List agency from which support was received, title of the project or program, dollar amount, inclusive dates & percent effort. May be subcategorized by role on project or program

**BOOKS AND BOOK CHAPTERS:**

Number books/chapters in chronological sequence, last to first using APA citation style. Authors in exact order (your name may be underlined, in bold, italics), title of the paper, editors, location of publisher, date of publications, & inclusive pages.

**PEER-REVIEWED JOURNAL ARTICLES:**

Number articles in chronological sequence, last to first using APA citation style. Authors in exact order, title of paper, name of journal, volume, inclusive pages, date of publication; note if letter

**OTHER PUBLICATIONS:**

Subcategorize as appropriate including proceedings (full papers), relevant popular press articles, research reports (usually peer reviewed), manuals, internal publications, abstracts presented and published, abstracts presented but not published, abstracts published but not presented, computer programs and software, videos, interactive videos, educational media, computer-aided instructional materials, tutorials, etc.

**LICENSURE:**

Profession, state, number, date issued, status

**SOCIETY MEMBERSHIPS:**

**PRIVATE SECTOR APPOINTMENTS:**

For those with relevant experience in the private sector. List chronologically from most recent to earliest

**HONORS/AWARDS:**

Honorary Organizations, Institutional, regional, national, or international awards may be grouped according to educational (e.g., undergraduate, or graduate) and/or professional subcategories.

**MILITARY SERVICE:**

Branch, dates served, training in service, current status

**PRACTICE/PROFESSIONAL EXPERIENCE:**

For those with any time in administration or in clinical practice (not as a faculty member) List chronologically from most recent to earliest

I understand that misrepresentation of academic credentials is a Class A misdemeanor in Tennessee. Therefore by my signature, I attest that the information contained in this document is accurate and correct to the best of my knowledge.

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Signature

(In May 2006, the General Assembly of the State of Tennessee enacted an amendment to the Tennessee Code Annotated, Title 39, Chapter 17 and Title 49, Chapter 7, relative to false academic degrees and misrepresentation of academic credentials, requires the College to inform you of the following warning:

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“Misrepresentation of academic credentials is a “Class A” misdemeanor in Tennessee. A person commits the offense of misrepresentation of academic credentials who, knowing that the statement is false and with the intent to secure employment at or admission to an institution of higher education in Tennessee represents, orally or in writing, that such person: (1) has successfully completed the required course work for and has been awarded one or more degrees or diplomas from an accredited institution of higher education; (2) has successfully completed the required course work for and has been awarded one or more degrees or diplomas from a particular institution of higher education; or (3) has successfully completed required course work for and has been awarded one or more degrees or diplomas in a particular field or specialty from an accredited institution of higher education.”

## **Appendix J: Proficiency in English**

Individuals who are candidates for appointment to a teaching position, promotion, or for award of tenure and whose native language is not English will be evaluated by the department Chair as to their ability to communicate effectively with students using the English language. If the Chair finds this ability acceptable, he or she shall so certify in writing to the Dean and the Dean to the Chancellor. If the Chair cannot so certify, he or she shall not appoint the individual to a teaching position, assign teaching responsibilities, or recommend the individual for promotion or tenure. (Reference: Policy 1.080, Certification of Effective Communication in English.)

Individuals not certified by the Chair will be given the opportunity for reevaluation following: (1) self-training, (2) completion of an off-campus course emphasizing spoken English, or (3) completion of a special course offered on campus (if available) toward this end.

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## **Appendix K: Appointment of Non-Dentist Biomedical Scientists or Scientists in Health Care-Related Fields Who Possess a Doctoral Degree**

In general, only a dentist may be awarded a regular academic faculty appointment in a clinical department, but such limitation is not mandatory. Non-dentist scientists who possess a doctoral degree in a biomedical science or related fields may be eligible for faculty positions in clinical departments under certain circumstances. Recommendations by Chairs for appointments of such scientists will be considered on an individual basis.

A non-dentist scientist who possesses a doctoral degree in a biomedical or related field who is not involved by licensure in patient care may be appointed to the faculty of a clinical department as set forth in the UT HEALTH SCIENCE CENTER GUIDELINES FOR ACADEMIC TITLES. Occasionally, a joint appointment for such a person will be made in the department appropriate to his/her discipline, such as the Department of Biochemistry for a Ph.D. biochemist. Ideally, from the academic viewpoint, the primary appointment for such a person would be in the department appropriate to his/her discipline. However, in many cases this is not possible or practical because an appropriate department may not exist on this campus or loyalties and lines of evaluation are in the clinical department. In addition, it is usually the clinical department that recruited the faculty member, and that faculty member's joint appointment in the department reflecting his/her discipline is made primarily in a spirit of cooperation. The appointment may not be in keeping with the Chair of that latter department's priorities for development of his or her academic unit. The primary appointment of the faculty member may thus be in the clinical department that recruited the candidate. The faculty member is eligible for tenure, but the tenure consideration relates only to the college of the clinical department into which the candidate was recruited.

## **Appendix L: Appointment of Individuals Who Possess Less Than a Doctoral Degree**

This section pertains to non-dentist health care professionals (e.g., dental hygienists, dental assistants, physical therapists).

Such individuals are not ordinarily eligible for faculty appointments in the College of Dentistry, but may be appointed to an "other academic" (i.e., programmatic) position (e.g., "Research Associate" or "Clinical Associate"). The personnel policy for this "other academic" category must be followed as well. Faculty appointments should ordinarily be sought in the other, more appropriate, colleges that make up UTHSC (e.g., in the College of Allied Health Sciences).

Exceptions can be requested in special instances.

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## **Appendix M: Appointment of Dental (and Other) Staff Members of Affiliated Institutions**

The Veterans Administration Medical Center is an affiliated institution in which appointments to the faculty of the full-time dental professional staff of the Veterans Administration Medical Center are the same as the full-time faculty except that such appointees (full-time VAMC) are not eligible to be placed on a tenure track in the College of Dentistry. With this exception, academic policy items relative to full-time faculty thus apply to the full-time dentist and other doctoral level professional staff of the Veterans Administration Medical Center who are appointed to the faculty in the College of Dentistry. A VAMC faculty member may be eligible for a tenure track appointment in the College under certain circumstances.

Other affiliated institutions that have their own full-time paid professional staffs may have an affiliation agreement with the University that stipulates that University appointments may be offered. The recommendation for appointment of a member of the staff of an affiliated institution to the faculty of the UT Memphis College of Dentistry is made at the discretion of the Chair of the appropriate College department and the Dean of the College of Dentistry, based on the candidate's potential contribution to the program of that department. The staff member of the affiliated institution, if awarded a faculty appointment in the College of Dentistry, is responsible to the Chair of that department for his or her activities as a faculty member in that department, whether carried out in the affiliated institution or elsewhere.

If granted, the appointment is a regular appointment, not on a tenure track, and follows previously stated rules for dentists and non-dentists. The appointment is to be re-evaluated annually relative to a continuing role in the respective department. Salary support for the position may be derived from the affiliated institution only or from both the affiliated institution and the University of Tennessee.

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## **Appendix N: Appointments of Persons Who are Not Biomedical or Related Scientists and Who Hold Professional Administrative Positions**

This section pertains to academic faculty appointments for individuals who possess educational training (not dental or medical) at or below the doctoral level degree and who are not biomedical scientists, who seek professional administrative positions within the College.

A professional administrative staff member in a department of the College of Dentistry, who is not a biomedical or related scientist, is ordinarily not eligible for a faculty appointment; staff positions are usually more appropriate. However, such a person may be nominated for an academic appointment in an appropriate department on the basis of appropriate credentials.

## **Appendix O: Joint Appointments in the College of Dentistry**

Joint appointments of a faculty member in more than one department in the College of Dentistry are often of mutual benefit to the departments involved and to the goals of the College of Dentistry in general. The Dean, when requested by the department Chairs involved, considers appointments in more than one department of the College of Dentistry for approval

In case of joint appointments, the person who is to receive a joint appointment should have documented credentials in the discipline of each department or appropriate to the goals of each department. In addition, the joint appointee should have a documented bona fide role in each department. It is the responsibility of the Chair of each department involved to reach an agreement on a joint appointment and to make a joint recommendation to the Dean, with the agreement of the faculty member involved. The academic rank need not be the same in both departments. In considering joint appointments, department Chairs should bear in mind the value to the entire institution, not just to his or her own department. An individual holding a joint appointment should be evaluated annually by all respective department Chairs regarding his/her contribution to each department.

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## **Appendix P: Appointment of Part-Time Faculty Members**

Part-time appointments are for those faculty members who devote less than one hundred percent (100%) of their academic or professional efforts to the mission and programs of UT Memphis. There are two versions of part-time appointments — regular and limited-term. Part-time faculty members are not eligible for tenure (UTHSC FH 4.4). Appointees may be either salaried for routinely recurring service or receive special payments for services performed on an irregular basis. Part-time faculty members may be eligible for some University benefits, depending on their percentage of effort. Each part-time faculty member meets annually with the Chair for the Annual Performance-and-Planning Review (UTHSC FH 4.14.3). At the end of the appointment term, the faculty member’s employment will be discontinued, if the appointment has not been renewed.

A person who accepts a part-time faculty appointment has made a commitment to the University relative to time and effort. The University, in offering a part-time faculty appointment, also assumes an obligation and makes a commitment to that person. The commitments made by the University and the person will be spelled out clearly in the appointment documents, so that no misunderstanding is possible on the part of either party involved. This appointment will be reviewed annually and its renewal each year will depend on positive action by the University. The appointment will not continue without that positive action.

In view of the fact that a part-time faculty member makes a commitment to the University relative to time and effort, for which he or she receives regular payroll remuneration from the University, such a faculty appointment may be a regular appointment without eligibility for tenure or, if paid on a contract-for-services basis, may be a special appointment with a prefix “Clinical” or “Adjunct”, as determined by agreement between the department Chair, faculty candidate, and the Dean. If such a person later becomes a full-time faculty member, the time he or she 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. Candidate, Chair, and the Dean, prior to the appointment to the tenure track position, will determine credit for the earlier appointment.

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## **Appendix Q: Appointment and Promotion of Volunteer, Adjunct, and Affiliated Faculty**

The University of Tennessee Health Science Center has had a strong and long established tradition of volunteer faculty participation in its missions. The Volunteer, Adjunct, and Affiliated Faculty (VAAF) play a major role in educating our students in their chosen professions. These faculty include practicing Physical Therapists, Physicians, Nurses, Pharmacists, Dentists, etc. who serve as preceptors and train our students without compensation. We recognize that our students would be less proficient in their chosen field without exposure to these practicing clinicians. Thus, it is imperative to recognize these faculty members as professionals who improve the clinical performance of our students and to acknowledge their overall contributions to the educational mission of The University of Tennessee Health Science Center.

### **Appointment and Promotion**

It is very difficult to establish specific criteria for the appointment and promotion of VAAF in every division/department or college; thus, discretion is left to each academic unit as to the appointment, continuation, and promotion of VAAF in order meet the individual needs of the unit while conforming to established guidelines for faculty appointments and titles. Responsibility for recommending the appointment of VAAF and the responsibility for recommending their promotions in rank rests with the Chair of the department to which the appointment is made. The impetus of such recommendations should be made to the Dean and be based on the needs of the department and the candidate's desire and ability to advance the teaching, research/creative and other scholarly activities, patient care, and university service/outreach missions of UTHSC.

### **Parameters**

1. Volunteer, Adjunct, and Affiliated faculty are not eligible for tenure but are eligible for appointment and promotion to the various faculty ranks with the prefix of "Clinical" for those with a professional degree or "Adjunct" for those not eligible to treat patients (e.g., Clinical Associate Professor or Adjunct Associate Professor).
2. Minimum number of years in rank will be the same as for regular faculty.
3. Appointments to the VAAF will be evaluated for renewal no less frequently than every 3 years. A VAAF appointment that is not renewed within 3 years after being granted is deemed terminated without the need for notice or other action by UTHSC.
4. Recommendation for promotion will be made by the Chair and approved by the Dean of the college prior to proceeding to the Chief Academic Officer and higher administrators.

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## **Criteria**

Criteria for promotion will depend on the successful accomplishment of the assigned duties of each volunteer, the magnitude and the quality of the contributions, and/or specific services rendered. In addition the evaluation by students, residents, patients, and peers must be taken into consideration when applicable.

The criteria for promotion of volunteer faculty are less well defined than for full-time paid faculty. Therefore, the initial rank should be carefully considered when the individual is appointed. General University rules apply to these faculty members so that, for example, the interval between promotions in the volunteer faculty track should be at least the same as fulltime paid faculty, and promotion should be based primarily on accomplishments since appointment or last promotion.

## **Instructor**

The qualifications and potential for supporting at least one of the missions of the University must be used for evaluating appointments.

## **Assistant Professor**

1. For basic science faculty, postdoctoral experience or equivalent experience is required.
2. Except under extraordinary circumstances, physicians and other health professionals are required to maintain an active license and obtain board certification.
3. There must be demonstrated interest and participation in the goals of the division / department and/or college.

## **Associate Professor**

1. There must be demonstration of continued interest in and commitment to the division/department or college and to UTHSC prior to consideration.
2. Candidates should demonstrate exceptional leadership qualities and achievements so as to be valued highly by colleagues at the local and/or state level.

## **Professor**

1. There must be demonstration of continued interest in and commitment to the division/department and/or college and to UTHSC prior to consideration.
2. The primary consideration for promotion to Professor is substantial evidence of regional, national, and/or international recognition in one of the three areas of teaching, research/creative and other scholarly activities, or patient care. There should be a long term record of distinguished university service/outreach and/or contributions locally.

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## **Appendix R: Appointment of Dental Specialists of One Discipline in a Clinical Department of Another Discipline**

When a dental specialist is to be appointed to the faculty of a particular clinical department other than that reflected by his/her specialty, and is not to be appointed jointly in the department of his/her specialty, agreement from the Chair of the specialty department will be solicited before the appointment will be made.

## **Appendix S: Criteria and Procedure for Award of Emeritus Status**

UT Memphis may award emeritus status to faculty members at the time of retirement. A faculty member with emeritus status holds an honorary faculty appointment at a specified rank. Emeritus status is granted to those individuals who have distinguished themselves in service to UT Memphis and who have received recognition for their academic contributions. The status is not granted automatically upon retirement of a faculty member but rather upon the recommendation of the faculty member's Chair, with the endorsement of the Dean, and subsequent approval of the Chancellor. The status is usually reserved for individuals retiring at the rank of full professor and such individuals are designated as Emeritus Professor. An administrator retiring with the rank of dean or above usually is designated Dean Emeritus, etc. An individual retiring at a lower rank may be granted the status of emeritus at that rank, this award being based on the length and quality of service to UT Memphis.

Approximately three months prior to an individual's retirement from the University, the departmental Chair should submit to the Dean a recommendation letter suggesting consideration of emeritus status; a current curriculum vita on the candidate should be included. The Chair's letter should specify the individual's outstanding contributions to the University, as well as the individual's contributions outside UT Memphis.

If requested by the Dean, the College Promotion, and Tenure Committee will review the candidate's credentials and advise the Dean. The Dean will then either support or reject the Chair's nomination for emeritus status. When the Dean approves an emeritus nomination, the recommendation is forwarded to the Chancellor, asking that emeritus status be granted. If the Chancellor concurs, he or she will notify the individual in writing of the emeritus award.

The Chancellor's letter of notification to the candidate serves as official documentation of the faculty member's emeritus status. No other documentation is required. Annual evaluations and reappointment letters are not required since this is a lifetime award.

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## **Appendix T: Appointment of Staff in Interdisciplinary Programs**

An individual appointed to the staff of an interdisciplinary program or center must also be appointed to an existing department of the College. As in all other categories of appointments, the primary criterion for the faculty appointment of a member of the staff of an interdisciplinary program is appropriateness of credentials. Because the faculty member holds a staff position in the center and a faculty appointment in a department, the role the faculty member plays in each unit must be defined and agreed upon by the faculty member, the director of the program or center, the Chair of the relevant department, and the Dean. The source and level of compensation are also to be determined jointly. Ultimately, the Chair is responsible for annual reviews and the promotion and tenure process. Recruitment is also a joint responsibility.

## **Appendix U: College of Dentistry Faculty Appointment, Promotion, and Tenure Committee (Structure and Charge)**

### **Charge and Responsibility**

The College, Promotion, and Tenure Committee is responsible for (1) reviewing and recommending policies, procedures and programs in the area of appointments, promotions, and tenure of the faculty of the College of Dentistry to the Dean of the College of Dentistry; (2) implementing and evaluating procedures on appointment, promotion, and tenure of faculty; (3) reviewing and recommending to the Dean action on all individual nominations by department Chairs for appointments at the level of Instructor or above, promotion, and award of tenure; and, (4) consulting with appropriate Chairs for the purpose of assisting in the development of the faculty, and acting as a faculty peer committee for Sixth-Year Review when the Department does not have 3 appropriate faculty peers.

Members of the Faculty Appointment, Promotion, and Tenure Committee assume a weighty responsibility in reviewing the academic credentials of present and future faculty members. Because of the importance of this task and the confidential nature of the material under consideration, College of Dentistry faculty members chosen to serve on the Faculty Appointment, Promotion, and Tenure Committee should be individuals whose own academic accomplishments and personal qualities have earned them a high level of respect among their peers.

### **Committee Structure**

In addition to the Chair, appointed by the Dean, the Committee shall consist of a minimum of eight members from the College of Dentistry. Committee membership will reflect the composition of the faculty of the College of Dentistry, with

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representation of minority and female faculty members, and can include faculty whose primary role is administrative. It shall include three faculty members from clinical departments, a faculty member from the Dental Research Center, and a department chair. In addition, the Committee membership must include at least 5 tenured faculty members (including the chair) so that those individuals can function as a subcommittee to consider tenure recommendations. The criteria for Committee composition are not mutually exclusive (e.g. one of the three clinical faculty members might be female and tenured, thus satisfying three criteria). In addition, the collegiate academic officer shall serve ex officio as a voting member

The faculty of the College of Dentistry elects three members of the Committee. Any individual nominated for this election must have served on the College of Dentistry faculty for a minimum of three years. The Dean, in a manner that ensures that all criteria for Committee composition are satisfied, appoints all other members of the Committee.

In addition to the Chair of the Committee, the Dean designates a Temporary Chair from the Committee membership to serve in a temporary capacity in the event that a conflict of interest develops involving the regular Chair and an appointment, promotion, or tenure recommendation. For each meeting, the Committee Chair will designate a Secretary who will have the responsibility of keeping minutes of the meeting and tabulating the votes.

Members of the College Appointment, Promotion, and Tenure Committee shall serve three-year terms that are staggered so as to ensure continuity from one year to the next. The three elected positions are staggered in such a way that one new member is elected each year. In general, Committee members shall not be eligible for reappointment or reelection within three years of the expiration of the original appointment or election; the Chair of the Committee may be reappointed to successive terms. Terms of appointment will become effective on January 1 and terminate on December 31. The College Appointment, Promotion, and Tenure Committee shall meet regularly and in special session as required to consider nominations for appointment, promotion and tenure or other matters of concern to the Committee.

### **Conflict of Interest**

A "direct" conflict of interest exists when a member of the Committee is being considered for promotion and/or tenure, is the Department Chair of the candidate, or has written a letter of recommendation on behalf of the candidate. A member of the Committee in direct conflict may not participate in, or be present during, discussions or activities pertinent to his or her nomination and may not vote.

An "indirect" conflict of interest exists when a member of the Committee is from the same department, division, or center as a nominee for promotion and/or tenure. If a Committee member is in "indirect" conflict because the member is from the same department, division, or center as a candidate, the Committee member will still participate in the consideration of the nominee by casting a vote, but will not be allowed to participate in, or be present during, discussions or activities pertinent to the nomination. The Chair, at his or her discretion, can ask the Committee member in "indirect" conflict for comments on the nomination.

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Committee members may declare that they hold a conflict of interest based on personal reasons. In this case, the Committee member will not be required to explain the circumstances of the declaration and will be judged to be in "direct" conflict.

Obvious or perceived conflicts of interest will be discussed by the Committee; decisions as to conflict of interest will be determined the Chair of the Committee who will consult with the Dean when appropriate.

### **Committee Voting Procedures**

A quorum must be present for the Committee to take action (i.e., vote). A quorum will consist of a simple majority (50%) of the faculty eligible to vote on a given candidate or issue. Only tenured committee members will be present for the consideration and vote for tenure recommendations.

Persons who are absent (for reasons other than a conflict of interest) can provide input regarding Committee decisions, but cannot cast a vote. Committee members who anticipate being absent should provide written comments to the Chair of the Committee before scheduled meetings. The chair will read the comments at the meeting and then see to their destruction.

Votes will be cast by secret ballot. When votes are being cast, members may vote yes or no on each recommendation; abstentions will not be allowed. If members think that additional information must be gathered before a vote is taken, a motion to table or defer the recommendation to a specific date can be made. A motion to table a recommendation cannot be made after a vote on a recommendation has been taken.

A motion to table a tenure nomination for the purpose of deferring a tenure consideration to the following year cannot be made; such will be ruled out of order. Likewise a vote to defer consideration of promotion to the following year cannot be made except by a negative vote.

The Chair of the Committee will not vote, except to break tie votes.

### **Committee Confidentiality**

The Committee Chair will instruct the Committee members regarding the confidentiality of matters before the Committee. In general, matters discussed by the Committee regarding submission materials, results of voting, and content of Committee correspondence are considered confidential materials.

All materials used in the consideration of candidates are considered confidential. Such materials are kept in a secure area in the Dean's office and may not be removed except by the Chair of the Committee as is necessary for Committee activities. No one is to alter the materials after they have been submitted, except under the directive of the Dean.

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## Violations of Committee Rules

Members who violate Committee rules regarding voting, confidentiality, or who fail to attend a majority of the Committee meetings will be asked to resign their appointment. Violations will also be reported to the Dean who can elect to terminate the appointment immediately, regardless of whether the member was elected or appointed.

## Appendix V: Sample Template for Calculating Scores Based on the Evaluation Point System

The hypothetical candidate seen below is an Associate Professor with tenure who is being evaluated for promotion to Professor. The average percentage of effort that this candidate devoted to each of his/her assigned missions are:

50% Research/Creative and Other Scholarly Activities  
30% Teaching  
10% Patient Care  
10% Service/Outreach

Assume further that the evaluators scored the activities in these categories as follows:

9 Research/Creative and Other Scholarly Activities  
7 Teaching  
5 Patient Care  
3 Service / Outreach  
(NB- minimum score in any category is 0; maximum is 9)

The overall score for this person would be:

% effort **X** research score  
+  
% effort **X** teaching score  
+  
% effort **X** patient care score  
+  
% effort **X** Service score = N

In other words:  $(0.50 \times 9) + (0.30 \times 7) + (0.10 \times 5) + (0.10 \times 3) = 7.4$

In this case, the score falls short of the requirement for promotion to full professor (at least 7.5 points needed), largely due to the fact that contributions were below expected in the area of service and patient care.

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## **Appendix W: Typical Schedule for the Promotion and Tenure Process**

September:

Administrators receive promotion and tenure instructions from the Office of the Vice Chancellor for Academic, Faculty and Student Affairs.

October:

Departments initiate a defined process for reviewing each faculty member from the standpoint of promotion and/or tenure. Each faculty member should be advised, in writing, that he/she is being evaluated and should be given the opportunity to submit information pertaining to the review of performance and future promise.

November-January:

Department chairs prepare recommendations for promotion and the awarding of tenure and forward them to the Dean. The due date is at the discretion of the Dean. Review by the College Appointment, Promotion, and Tenure Committee takes place during this time.

February: Chair of College Appointment, Promotion and Tenure Committee writes summary letters to Dean.

Mid-March:

The Dean reviews the recommendations of the College Appointment, Promotion, and Tenure Committee and forwards the final recommendations to the Office of the Vice Chancellor for Academic, Faculty and Student Affairs.

By April 1:

The Vice Chancellor reviews the recommendations and prepares a consolidated report for the Chancellor.

By May 1:

The consolidated recommendations approved by the Chancellor are forwarded to the University President in Knoxville who will review the list and prepare final recommendations for the UT Board of Trustees.

June:

The UT Board of Trustees acts on these recommendations.

By July 1:

The Chancellor notifies faculty members of action taken by the UT Board of Trustees regarding approved promotions and awards of tenure.