

**Minutes Faculty Senate Meeting
May 8, 2018, 4:00 PM GEB A204**

Recording:

<http://mediaserver.uthsc.edu/uthscms/Play/79cb43061fd34f74ad1529f1c989d5a01d?catalog=283793f9-234c-42db-bdf5-52b0ef554cf3>

Present: (38) Bill Callahan, Beth Choby, Ricketta Clark, Dawson Colvert, George Cook, Martin Donaldson, Ioannis Dragatsis, Jami Flick, Bruce Hamilton, David Hamilton, Peg Hartig, Rod Hori, Vickie Jones, Vijaya Joshi, Mack Land, Chris Ledbetter, Carol Likens, Sharon Little, Tao Lowe, Nawajes Mandal, Tracy McClinton, Dayna Myers, Frank Park, Jeff Phebus, James Ragain, RK Rao, Laura Reed, Phyllis Richey, Reese Scroggs, Richard Smith, Christina Spivey, Wen Lin Sun, Fridtjof Thomas, Wes Williamson, Thad Wilson, Sunny Wu, Jie Zhang, Yanhui Zhang

Via Zoom: (8) Mohamad Elabiad, Dave Rogers, Meg Mulligan, Ellen Hamby, Csaba Kovesdy, Shaun Rowe, Jami Brown, Helmut Steinberg

Administration: MaryAnn Clark, Lori Gonzalez, Cindy Russell

- Call to Order/Approval of the agenda
 - Committee reports:
 - Important updates from the standing committees
 - Legislative Resource/Carol Likens: update on Gubernatorial Forum
 - The gubernatorial candidate forum will be Thursday July 12. All candidates have been invited. It will be focused on higher education and healthcare. The committee will develop a set of questions based on those topics. Please email clikens@uthsc.edu if you have questions of issues you would like to see addressed. The questions will be framed to avoid political answers. A reception will follow the event.
 - Handbook committee – discussion of suggested handbook updates (*appended to these minutes*)
 - Only the changes in the documents that were sent out will be voted on, not the entire section. BOT-required changes include the required 6-year probationary period for tenure, each level of approval of the tenure process must include a letter explaining the recommendation, and specific language on the external letters required for promotion and tenure. Peer-review of teaching for tenure review language has been added, but the process to do this is still being worked out.
 - New senator faculty training, Lori Gonzalez:
 - How to encourage faculty involvement in the Senate?
- Vote on handbook updates: 94% (31) voted to approve.
- New Business
 - New senator faculty training, Lori Gonzalez:
 - How to encourage faculty involvement in the Senate?

- How to train new Senators?
 - A training luncheon is being organized. Martin and Lori will survey the Senate for further information.
- Voting on Senate and Presidential awards
 - **Senator of the year** – Terry Cooper:
 1. Active, continuous, regular membership in the UT Health Science Center Faculty Senate;
 2. Outstanding service to and through the UT Health Science Center Faculty Senate;
 3. Dedication to the UT Health Science Center Faculty Senate’s mission and goals as well as an intense devotion to furthering all of its aims and purposes;
 4. Proven qualities of leadership, tact, and resourcefulness in promoting and furthering teamwork in the activities of the UT Health Science Center Faculty Senate;
 5. Not currently serving as a UT Health Science Center Faculty Senate Officer or Executive Committee member; and
 6. Not having received the Award previously.

Achievements:

Tireless work as Chair of the Handbook Committee
 Long-time service to UTHSC
 Current Non-Voting of the UT Board of Trustees (BOT)

- **Administrator of the year** – Cindy Russell
 1. Outstanding service to UT Health Science Center;
 2. Dedication to the UT Health Science Center mission and goals;
 3. Proven qualities of leadership, tact, and resourcefulness in promoting and furthering the missions and goals of his or her unit or UT Health Science Center as a whole; and
 4. Not having received the Award within the past five years.

Achievements:

- Tireless work on the Faculty Handbook
- Getting the updated sections of the Handbook approved by multiple levels of Bureaucracy up to the BOT
- Execution of the Faculty Resource Fair and Social

- **Presidential Citation** – Lori Gonzalez

Recommendations received will be awarded to those members of UT faculty, administration, staff or student body for performing a specific act or acts **not implicit in their assigned duties** which contribute to an exceptional degree to accomplishing the mission, goals or purposes of the UT Health Science Center Faculty Senate. May be awarded to any individual, section, service, department, business, corporation or like

entity, whether or not directly associated with the UT Health Science Center Faculty Senate, **in appreciation of significant contribution(s) to the Senate**

Achievements:

- Continued availability of her staff to help the success of the Faculty Senate.
 - Promotion of the faculty Resource Fair and Social.
 - Presenting concept of training of new Senators.
 - Promotion of Student Groups.
 - QEP Development.
- **Exceptional Meritorious Achievement Certificate** – CTN2 Team
 - Recommendations received will be awarded to those members of UT faculty, administration, staff or student body whose exceptionally noteworthy performance **has contributed significantly to the accomplishment of the mission**, goals or purposes of the UT Health Science Center Faculty Senate]
 - **Team Members:** Steve Goodman, Ari VanderWalde, Bob Davis, Phil Cestaro, Bill Mason, Richard Magid, and Karen Johnson
 - **What is CTN2?** It is the Clinical Trials Network of Tennessee. With CTN2, UT Faculty investigators and institutions can design, solicit, and conduct clinical trials of high integrity across campuses and institutions in Tennessee
 - **Certificate of Appreciation:** May be awarded to any individual, section, service, department, business, corporation or like entity, whether or not directly associated with the UT Health Science Center Faculty Senate, in appreciation of significant contribution(s) to the Senate.
 - **Awardees:**
 - From AFSA: Lisa Zeigler, Kiela Person, and Allen Dupont
 - Instructional Technology Services: Tim Florence, Marisa Alston, Sarah Cheon, Michelle Odell, and Jeff Herod.
- Vote on Awards:
 - 94% Approve (32)
 - Old business
 - Upward evaluation – process and roll-out, Richard Smith
 - There was a slight delay in the roll-out due to a technical glitch, but that has been corrected. The format will be similar to last year’s. Participation is important.
 - Announcements
 - Senate elections
 - President-Elect
 - Secretary/treasurer
 - Elections at the annual meeting on June 12
 - Senate election are in progress and new Senator’s term of office begins on July 1

- After elections are complete each college must elect a representative to the Executive Committee
 - No Senate meetings in July or August
 - Honoring faculty who passed and faculty who retired in the past year
- Next meeting June 12
- The meeting was adjourned at 4:40PM.

The appended document reflects edits in specific portions of the UTHSC Faculty Handbook that are required for compliance with the Board of Trustees (BOT) March 23, 2018 revised Policies on Academic Freedom, Responsibility, and Tenure.

- New proposed language highlighted in yellow
- Deleted language in strikeout

There will be future edits that will come before you for review in anticipation of the November 2018 BOT meeting. We have some extensive work to do re: peer review of teaching for the November BOT meeting.

The edits required to be submitted for the June 2018 BOT meeting are “Any revision of campus procedures necessary to comply with the new minimum components of the tenure review process stated in Appendix A.”

Faculty Affairs/AFSA worked with the Faculty Handbook Committee and Frank Lancaster of the Office of General Counsel to incorporate the minimum of edits to Section 4 and Appendix L of the Handbook. There were many places that required an update to the Board’s new language - and further places we will need to edit for the November meeting.

As an aid to reviewing this document, you may want to use the other attachment that describes the edits one-by-one. That document provides additional details as to decisions that were made.

The Faculty Senate Executive Committee and the Faculty Affairs Work Group have reviewed parts of this document. I am sending to them for their final review along with sending to you.

The full Faculty Senate will vote on this document at next week’s meeting - Tuesday, May 8.

I ask for your vote also by close of business on Tuesday, May 8 so that we can get this document sent to UT System (for preparation/inclusion in the BOT materials for the June meeting).

I am happy to come and talk with anyone who’d like to have a conversation about the attached. Just let me know a time you are available and I will come see you (or call you).

There are numerous places in Section 4 that call for better organization. A goal is to integrate Appendix L back into Section 4, so that nobody needs to look in two places for information. Say it once and good and be done.

We do not have sufficient time at this point to make those changes. In preparation for the fall BOT meeting, however, we WILL be looking to make those changes and will want your feedback as we prepare to do those.

Thank you, in advance, for your attention to getting these edits through our approvals.

Cindy

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Cindy Russell

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Section 1 Introduction

Section 1 omitted for brevity

Section 2 Academic Governance

2.1 Definition of Academic Governance

Academic governance is the system through which the Board, the University administrators, and the University faculties participate in developing policy on academic matters.

Because the University is an academic institution, any and all policies adopted by the University to guide and control its activities may be broadly interpreted to constitute policies on academic matters. For the purpose of this *UTHSC Faculty Handbook*, however, the term “academic policies” shall generally refer to those policies that either (a) guide and control the education, research, clinical care and public service functions of the University faculty or (b) deal with the rights and responsibilities of the individual faculty member. Thus University policies that direct alumni affairs, non-faculty personnel issues, financial matters, hospital management, etc. are not considered “academic policies” except in those cases, such as the planning function, where their partial inclusion is required by their close relationship to the academic governance process.

2.2 Academic Governance of the University

2.2.1 The Role of the Board of Trustees

The Board of Trustees is the final institutional authority on academic policy. The Board may establish or revise University policy on any academic matter other than the planning and development of the curricula. The University Bylaws specifically reserve to the Board certain authority, including:

1. Establish policies controlling the scope of the educational opportunities to be offered by the University and also policies determining its operation in general; however, the planning and development of curricula shall be the function of the faculties;
2. To determine and control the activities and policies of all organizations and activities that bear, or that may be carried under, the name of the University;
3. In cases where only the Board is authorized to grant tenure, grant tenure to eligible members of the faculty upon the positive recommendation of the President;
4. Prescribe admission, progression, and retention requirements for the University and particular programs of instruction;
5. Approve mission statements for the system and each campus or institute;
6. Approve strategic and long-range academic plans;
7. Approve proposals concerning the development of new academic programs and the significant revision of existing programs relating to instruction, research, and service;

8. Establish new academic organizations, such as major campuses, institutes, colleges or schools, and academic departments;
9. Evaluate existing academic programs and their administrative structures;
10. Terminate programs and structures that no longer are needed;
11. Approve admission, progression, retention, and graduation standards;
12. Approve the University's Policies Governing Academic Freedom, Responsibility, and Tenure, campus implementing procedures, and any other faculty personnel policy requiring Board approval;
13. Approve proposals and any necessary policies concerning information technology;
14. Approve proposals and any necessary policies concerning system-wide use of academic services including libraries and computer labs;
15. Approve University rules concerning student conduct, rights, and responsibilities to be promulgated under the Tennessee Administrative Procedures Act;
16. Approve proposals and any necessary policies related to the non-academic aspects of student life, including student services and student conduct; and
17. Approve proposals and any necessary policies related to campus enrollment and facilities capacity.

(The University of Tennessee Bylaws Art. I, § 2 and Art III., § 7, as amended through Oct. 9, 2009.) For a complete and up-to-date description of the Board's responsibilities, please refer directly to the Bylaws (see <http://bot.tennessee.edu/bylaws.html>).

Remainder of Section 2 omitted for brevity

Section 3 Rights and Responsibilities of the Faculty

Section 3 omitted for brevity

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

4.1 Tracks Available to Full Time Faculty

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

4.2 Definition of Tenure

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

4.3 The UTHSC Tenured and Tenure Track Faculty

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

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

4.4 Selection and Career Development of Tenure Track Faculty

4.4.1 Role of the Department Chair

The Department Chair is the academic and administrative leader of the department's faculty. The Chair is responsible for the management of the department's activities, including direction of the work of the faculty. The assignment of faculty workloads and work sites is the responsibility of the

Chair, in consultation with the Dean when appropriate. The Chair is responsible for the equitable assignment of faculty responsibilities and assures that an appropriate balance of time and effort is committed within the department to teaching, research, service, and, if applicable, patient care. The Chair is responsible for overseeing the career development of all faculty members in the department. In a large department the Chair may delegate some of these responsibilities to Division Chiefs.

4.4.2 Role of the Tenured Faculty of the Department

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

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

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

these bylaws. After approval by the Dean, the UTHSC Chief Academic Officer, and the Chancellor, these bylaws shall be published and made available to every full time faculty member in the department and placed on the web site of the Faculty Senate.

4.4.3 Composition and Role of the Collegiate Promotion and Tenure Committee

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

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

1. reviewing and recommending policies and programs in the area of appointments, promotions, and tenure;
2. implementing and evaluating procedures on appointments, promotion, and tenure; and
3. reviewing and recommending to the Dean action on all individual nominations by the department chairs for appointments, promotion, and the award of tenure, and other matters as assigned by the Dean.

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

4.5 Eligibility for Tenure Consideration

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

1. Tenure track faculty appointments at the academic rank of assistant professor, associate professor, or professor are eligible for tenure;
2. Instructors are ineligible unless they are recommended for promotion to assistant professor at the same time that they are recommended for tenure;
3. Temporary, term, and part time appointments are not eligible for tenure (Sections 6.2.2 and 6.2.3); and
4. Faculty members pursuing degrees at UTHSC are not eligible for tenure.

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

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

1. individuals who are appointed to UTHSC in administrative positions with academic rank and who are notified in writing that such service is not applicable to consideration for tenure (Section 6.2.4);
2. individuals with secondary faculty appointments whose primary appointments are non-faculty (Section 6.2.4); and
3. volunteer faculty members or individuals from other categories of Faculty (i.e., affiliated) who are not salaried through UTHSC (Sections 6.2.5 and 6.2.6).

4.6 Selection Criteria for Tenure Track Faculty Members

4.6.1 Selection of Tenure Track Faculty Members

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

1. fulfill the basic criteria for appropriate faculty rank as outlined in Section 6.1 of this *Faculty Handbook*;
2. fulfill the distinctive requirements established by the department for the faculty position to be filled; and
3. possess documentation of academic achievement and credentials (acquired as a student, a faculty member, a postdoctoral appointee, research associate, or during a fellowship or residency) that strongly indicate that the performance as a faculty member will be outstanding throughout his or her future academic career.

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

4.6.2 Selection Process for Tenure track Faculty Members

1. On the basis of a demonstrated need of the department's academic program and availability of money for the position, the Chair requests that a new or replacement tenure track faculty position be filled.
2. The Dean authorizes the new or replacement tenure track faculty position to be filled.
3. Chair prepares a description of the open position and initiates the appropriate UTHSC recruitment process to identify candidates.
4. The Chair may appoint a search advisory committee.
5. The Chair shall consult with the tenured/tenure track departmental faculty of equal or higher ranks to that of the prospective appointee before nominations are forwarded. Final responsibility for the departmental recommendation rests with the Chair.
6. The Chair selects the candidate to be recommended for the position.
7. The Chair holds informal discussions with the selected candidate concerning rank, salary, and other conditions of employment, and the candidate's willingness to accept such conditions, if a formal offer is made by UTHSC.
8. If the selected candidate is willing to accept the conditions of employment, the Chair proceeds to the appointment process described in Sections 4.7.1 and 4.7.2.

4.6.4 Nepotism

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

4.6.5 Certification of Effective Communication in English

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

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

4.7 Initial Faculty Appointment Process

4.7.1 Approval by the Dean

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

1. The Chair makes a recommendation for appointment at a particular rank to the Dean (Section 6.1).
2. The Dean may request the CPT Committee to review the candidate's credentials and make a recommendation concerning the appointment and rank.
3. The Dean may (a) agree with the Chair's recommendations concerning both appointment and rank; (b) agree with the Chair's recommendation for appointment but disagree with the recommendation concerning rank and direct the Chair to modify the appointment; or (c) disagree with the Chair's recommendation for appointment and direct the Chair to continue the selection process.

4.7.2 Initial Appointment Letter

1. Notification of initial appointment to the selected candidate is made by letter from the Dean and the Chair. Sample letters of appointment are included in the Faculty Evaluation Manual. The letter should state the precise terms and conditions of the appointment including, but not limited to:
 - a. the classification of the appointment, e.g., tenure track or nontenure track; if the former, the letter should also state that the faculty appointment is probationary for tenure;
 - b. the rank, salary, and related financial conditions;
 - c. the length of the probationary period (Section 4.8) and the academic year in which the faculty member must be considered for tenure if he or she has met the minimum eligibility requirements;
 - d. the initial specific academic expectations of the appointee during the probationary period, including the percent effort that should be devoted to each of the assigned missions;
 - e. the general expectation that the appointee will abide by the rules and regulations of UTHSC, including the provisions of this *Faculty Handbook* and the principles of the Honor Code of UTHSC; and
 - f. a statement that the letter contains the complete appointment agreement between UTHSC and the appointee and that any previous discussions or correspondence are not binding on UTHSC.

2. The initial appointment letter must include the internet address of the UTHSC home page and information concerning how to access the *Faculty Handbook* and the Honor Code through the home page.
3. The selected candidate's written acceptance of the provisions of the initial appointment letter, together with the execution of a faculty appointment agreement, a personnel action form, and other UTHSC employment forms, completes the initial agreement of employment between the new faculty member and UTHSC. Execution of a faculty appointment agreement requires documentation of the candidate's credentials (including a copy of his/her diploma and transcripts) and evidence of licensure where appropriate.
4. The base salary is the only portion of a faculty member's salary that is protected by tenure. The initial appointment letter must specify the base salary and indicate the terms and limitations regarding any additional funding that might be provided for other specified duties (e.g., additional compensation for service as Chair, institute director, program director, dean).

4.8 Probationary Period

4.8.1 Length of Probationary Period

A tenure track faculty member must serve a probationary period prior to being considered for tenure. The probationary period at UTHSC shall be six years. The faculty member will apply for tenure during the sixth year, and if tenure is not granted, the faculty member will be permitted to serve a seventh year as a terminal year. If a faculty member begins employment after July 1 and before January 1, the remaining term of the faculty member's initial appointment will count as the first year of the probationary period, so that what is treated as the first year of a faculty member's probationary period will not be shorter than six months. ~~no less than one and no more than seven academic years; however, for good cause, the President, upon the recommendation of the Chancellor, may approve a probationary period of less than one academic year.~~ If a faculty member has served in a tenure-track appointment at another institution, his or her total probationary service may extend beyond ~~seven~~ six years.

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

A faculty member may request an early consideration for tenure before the sixth year of his or her probationary period but no sooner than the next regular tenure cycle after completion of the first year of the probationary period.

For good cause related to procedural error (e.g., lack of due process), UTHSC and a tenure track faculty member may agree in writing to extend a ~~seven~~ six-year probationary period for a maximum of two additional years. The proposed extension must be approved in advance by the UTHSC Chief

Academic Officer, the Chancellor, the ~~Senior Vice~~ President (or designee), and the General Counsel (or designee).

4.8.2 Suspension of Probationary Period

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

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

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

4.9 Transfer of Appointments

4.9.1 Transfers from Part Time to Full Time Appointments

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

4.9.2 Transfers Between Tracks

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

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

Only one transfer between nontenure and tenure tracks would normally be considered.

4.10 Notice of Non-Renewal

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

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

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

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

4.11 Criteria for Tenure

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

4.11.1 General Criteria for Tenure at UTHSC

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

1. fulfilling the distinctive requirements established in writing by the department for the faculty position, and

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

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

The Board's policy on tenure states that each department shall establish bylaws governing the tenured faculty's consideration of a candidate for tenure that are consistent with applicable college or campus bylaws but may be more restrictive. The departmental bylaws shall be effective upon approval by the dean and the UTHSC Chief Academic Officer and shall be published in the bylaws of the department. Departmental bylaws for tenure consideration shall not be required, however, if the college dean and the UTHSC Chief Academic Officer have approved application of the procedures established in college bylaws in lieu of departmental procedures. Each department must certify in writing to the college dean and the UTHSC Chief Academic Officer whether they will or will not establish departmental bylaws and procedures. The certification will be posted on the UTHSC Chief Academic Officer's website. ~~a college or a department may establish more specific criteria for tenure in that unit. The Board requires that, after approval by the Dean, the UTHSC Chief Academic Officer, and the Chancellor, these criteria for tenure shall be published in the bylaws of that academic unit.~~ The Board also requires that the tenure criteria for a department shall include and be consistent with the criteria stated in the Board's policy, as well as any criteria established by the department's college and UTHSC.

4.11.2 Candidate's Supporting Documentation

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

The Chair should counsel the faculty member concerning updating his or her curriculum vitae and the identification of supporting documentation to be submitted to the tenured departmental or divisional faculty (or CPT Committee) (*Faculty Handbook*, Section 4-11-2). The faculty member, in consultation with the Chair, should compile a dossier containing all documents to be submitted for review. Although each department's tenured faculty and Chair determine what additional items are required for a candidate's dossier, the dossier must include at least the following items (*Faculty Handbook*, Section 4-11-2):

1. Current Curriculum Vitae, in the form required by UTHSC;

2. The initial appointment letter and annual reappointment letters with all figures related to salary or income completely obscured;
3. Annual accomplishments and goals, written by the candidate, since accepting a tenure-track faculty appointment at UTHSC;
4. 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 3 above;
5. Documents pertaining to the candidate's Interim Review, if relevant;
6. External reviews (Faculty Handbook, Section 4.11.2.1); and
7. Peer review of teaching (Faculty Handbook, Section 4.11.2.2).

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

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

4.11.2.1 External Reviews

In addition to internal letters of evaluation, external letters of evaluation must be obtained for all reviews for promotion and for the final probationary review for the award of tenure.

a. Qualifications of Evaluators

1. Definitions for each category of evaluators are:
 - a. External evaluators are individuals who are not employed by or affiliated with UTHSC or UTHSC's affiliated institutions.
 - b. Internal evaluators are individuals who are employed by or affiliated with the college, UTHSC, or UTHSC's affiliated institutions.
2. External evaluators should be distinguished individuals in the candidate's field who are in a position to provide an assessment of the candidate's current and projected contributions to the candidate's field of scholarship and to comment on their significance for the discipline.
3. Evaluators must be (a) at or above the candidate's current rank (or equivalent), in the case of tenure review only, or (b) at or above the rank (or equivalent) to which the candidate aspires to be promoted. Appropriate evaluators should have sufficient expertise to evaluate the candidate's contributions in their areas of effort: teaching, research/scholarship, service, and

if applicable, clinical care. Evaluators providing reviews for tenure must themselves hold tenure if offered at their institution or the equivalent if tenure is not offered.

4. Letters should not be solicited from evaluators who would be considered to hold any conflict of interest, as defined in the National Institutes of Health (NIH) definition of conflict of interest, or who would be in any professional or personal relationship with the candidate that could reduce objectivity. Questions as to the appropriateness of any external or internal evaluator should be referred to the Dean's office, with further review by UTHSC's Chief Academic Officer if needed.
5. College bylaws may specify more explicit criteria for identifying potential evaluators.

b. Number of Required Letters

While college bylaws may specify more than the number of required external and internal letters of evaluation noted here, the following are the minimum requirements by rank. The candidate and the chair should separately create a list of names of potential evaluators that is double the minimum number of required letters.

- a. Instructor to Assistant Professor: 3 internal letters of evaluation required
- b. Assistant Professor to Associate Professor without tenure: 2 external and 3 internal letters of evaluation required
- c. Assistant Professor to Associate Professor with tenure: 3 external and 2 internal letters of evaluation required
- d. Associate Professor to Professor with or without tenure: 3 external and 2 internal letters of evaluation required
- e. Instances of tenure at any rank without promotion: 3 external and 2 internal letters of evaluation required

c. Selection of Evaluators

All potential evaluators are to be identified by mutual agreement of the candidate and the chair. College bylaws, and departmental bylaws if they exist, must specify the number (beyond the minimum, if applicable) and general criteria for identifying potential evaluators.

In selecting evaluators, a candidate may prospectively reject the names of up to three proposed evaluators without cause. In instances where the candidate and the chair cannot mutually agree on a potential evaluator within five business days of receiving each other's' lists, the candidate and chair should present their views to the departmental faculty who will then decide the disposition of the issue by anonymous balloting within five business days. A simple majority vote prevails.

d. Solicitation of Letters of Evaluation

The individual responsible for this process at the collegiate level should normally solicit twice the number of minimum required letters of evaluation, using the following guidance. A standard form letter must be used for all candidate members within a college.

1. Materials to be sent to evaluators:
 - a. Candidate's current curriculum vitae

- b. Relevant supporting materials from the candidate's dossier, e.g., teaching portfolio, sample publications (generally no more than 2), summary of student and/or peer evaluations of teaching, etc.
 - c. College and (if applicable) departmental bylaws and UTHSC Faculty Handbook statements of criteria for the specific action(s) (e.g., promotion, tenure, or both)
 - d. Materials requested to be included by the candidate.
2. General information to provide to evaluators in the request for evaluation:
- a. Candidate's name
 - b. Nature of the specific action(s) under consideration (e.g., promotion, tenure, or both)
 - c. Request for reviewer to comment on the candidate's academic progress based on materials provided and/or on the evaluator's personal knowledge of the scientific and/or professional contributions of the candidate
 - d. Request for reviewer to provide a frank appraisal of (1) the candidate's research abilities and creative achievements, including papers given at scholarly meetings; (2) the quality of his/her publications or other creative work; (3) his/her reputation or standing in the field; and (4) his/her potential for further growth and achievement. Reviewers may also be asked to rate the candidate's contributions in comparison with others they have known at the same stage of professional development.
 - e. Request for reviewer to state the nature of any association with the candidate
 - f. Request for reviewer to state precisely what the letter of evaluation covers (e.g., promotion, tenure, or both)
 - g. Request for letters to be submitted on institutional letterhead with the evaluator's signature that includes rank as well as tenure status
 - h. Disclosure of Tennessee Public Records Act, TCA §10-7-501 et seq. and access to letters of evaluation
 - i. Date when letter of evaluation must be received during the review cycle
 - j. Thank you
3. All letters should be addressed to the individual responsible for this process at the collegiate level.
4. Letters may be submitted via postal mail or email.
5. Whenever possible, external letters should be sought from (a) individuals at UTHSC's comparable or aspirational peer institutions or (b) from an outside institution similar to UTHSC (e.g., academic health science center or research-intensive institution).
- 4.6. All letters solicited and received, even if more than the required minimum number, must be included in the dossier unless the UTHSC Chief Academic Officer approves their removal from the review process.

Within a department the number and nature of required letters should be uniformly applied to every faculty member.

4.11.2.2. Peer Review of Teaching

Peer review of teaching is required for all tenure candidates. This requirement applies to tenure candidates who will be reviewed in the tenure review cycle ending June 2020.

4.12 Locus of Tenure

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

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

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

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

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

4.13 Faculty-Initiated Changes in Clinical Practice Affiliation

A faculty member who proposes to change his/her clinical practice affiliation while maintaining an academic appointment must re-negotiate the terms of the academic appointment with the Chair and Dean. The faculty member must initiate such negotiations in advance of the proposed change to allow time for adequate discussion by all parties and for written response from the Dean. If, after consultation with the Chair and the faculty member, it is the opinion of the Dean that the faculty member can continue to fulfill all of his/her assigned UTHSC missions and otherwise fulfill the needs of the University within the proposed clinical practice affiliation, there may be no need for substantive changes to the faculty member's academic appointment, compensation, and/or tenure status. If not, after negotiation, the faculty member would be advised in writing, in a timely manner, that the proposed change in clinical practice affiliation would require a change in academic appointment, compensation, and/or tenure status. The nature of this change would be determined on

a case-by-case basis. Negotiations regarding such changes must be carried out in good faith by the faculty member, the Chair, and Dean, recognizing the long-standing commitment of the tenured faculty member. Ultimately any change in the clinical practice affiliation must meet the needs of the college and UTHSC. Changing clinical practice affiliation without the prior written approval of the Chair and Dean constitutes resignation of a faculty member's academic appointment and consequently, relinquishment of tenure (Section 8.1.1). The faculty member may appeal the Dean's decision through the normal grievance process in Section 7. Any such appeal should be filed prior to the date of resignation from his/her current practice affiliation.

4.14 Career Development and Evaluation of Tenure Track Faculty Members

4.14.1 General

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

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

4.14.2 Expectations Regarding Career Development of Tenure Track Faculty Members

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

4.14.3 Career Development and Evaluation Process for Tenure Track Faculty Members

The career development and evaluation process for tenure track faculty members in the probationary period is a series of meetings, involving the faculty member and the Chair. The purposes of these meetings are to:

1. mutually establish academic (e.g., teaching, research, service, and/or patient care) goals for the faculty member;
2. evaluate the faculty member's performance in achieving these previously established academic goals;

3. provide the faculty member with a routine opportunity to seek and receive advice and guidance from the Chair and the tenured faculty of the department; and
4. assess the progress towards attainment of tenure.

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

4.14.3.1 Initial Meeting with the Chair

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

4.14.3.2 Annual Performance and Planning Review

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

4.14.3.3 Interim Probationary Review

For each tenure track faculty member, the department and the Chair will conduct an enhanced review to assess and inform the faculty member of his or her progress toward the grant of tenure during the third or fourth year of the probationary period (with the year to be determined in the department head's sole discretion). ~~whose probationary period is four or more years, an Interim Review will be conducted.~~ The purpose of the Interim Review is to establish a mutual understanding between the faculty member and the Chair regarding his or her progress towards attainment of tenure. ~~If the probationary period is four years, the Interim Review occurs in the second year. If the probationary period is five, six, or seven years, the Interim Review occurs during the third year. A sample document summarizing this review and the process for the review can be found in the Faculty Evaluation Manual.~~

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

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

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

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

4.14.3.4 Final Probationary Review

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

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

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

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

4.15 Procedures for Consideration and Grant of Tenure

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

4.15.1 Tenured Faculty's Recommendation

According to the Board's policy on tenure, an adequate evaluation of a tenure candidate's qualifications, professional contributions, potential, and determination of whether he or she should be accepted as a tenured member of the UTHSC academic community, requires the judgment of both the candidate's faculty colleagues and the responsible administrators. Thus, although recommendations for tenure are administrative actions that must be approved by the **President or Board of Trustees**, there should be no positive recommendation for tenure without formal consultation with the tenured faculty of the department in which the candidate holds his or her position. At UTHSC this formal consultation with the tenured faculty in the candidate's department is contained in the Interim and Final Probationary Reviews of the candidate's performance by the tenured faculty of his or her department (**Sections 4.1314.3.3 and 4.1314.3.4**).

Tenure resides in a community of scholars competent to evaluate a candidate's professional contributions and to determine whether, on the basis of past and potential contributions, he or she should be accepted as a permanent member of that community. The Board requires that each department shall **establish bylaws** ~~adopt bylaws~~ governing the tenured faculty's consideration of a candidate for tenure **that are consistent with applicable college or campus bylaws but may be more restrictive. Departmental bylaws for tenure consideration shall not be required, however, if the college dean and the UTHSC Chief Academic Officer have approved application of the procedures**

established in college bylaws in lieu of departmental procedures. These bylaws shall provide for a meeting of the tenured faculty to debate and discuss the tenure candidacy. The bylaws shall also provide for the manner of taking and recording a formal vote of the tenured faculty on whether the candidate should be recommended for tenure and shall establish the minimum number of votes necessary to constitute a positive recommendation. The vote shall be cast anonymously. At UTHSC the tenured faculty recommendation and formal, anonymous vote is contained in the report of Final Probationary Review (Section 4.13.14.3.4).

4.15.2 Department Chair's Recommendation

The vote of the tenured faculty is advisory to the Department Chair. After making an independent judgment on the tenure candidacy, the Chair shall submit his or her recommendation to the Dean with a written summary explanation of his or her judgment, with a copy provided to the tenure candidate and the departmental tenured faculty at the same time (Section 4.13.14.3.4). If the Chair's recommendation differs from the recommendation of the tenured faculty, the summary he/she must explain the reasons for the differing judgment, and the Chair must provide a copy of the summary explanation to the tenure candidate and the departmental tenured faculty. –The tenured faculty will meet again to consider whether a dissenting report should be developed and forwarded to the Chair of the CPT Committee, with a copy provided to the Department Chair, the Dean, and the tenure candidate at the same time. may forward a dissenting report to the next level of review (Section 4.13.3.4).

4.15.3 Dean's Recommendation

All tenure recommendations of the Department Chair, whether positive or negative, shall be reviewed by the Dean of the college. The Dean shall use the CPT Committee as advisory to his/her decisions. The CPT committee is described in Section 4.34.3.

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

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

The Dean will make a recommendation based on advice of the CPT Committee, the Department Chair and the tenured departmental faculty, as well as on the basis of other circumstances, including personal knowledge of individuals and the needs of the college. In the case of a positive recommendation by the Dean, he or she will advise the Chair. In a case of any negative recommendation by the Dean, the Dean will provide the individual faculty member and the Chair with written notice of that recommendation. The faculty member must be notified about the negative recommendation and must be informed of his or her right to consult with the UTHSC

Chief Academic Officer prior to or at the same time as the Dean forwards the recommendation to the next level of review. After making an independent judgment on the tenure candidacy, the Dean shall forward his or her recommendation and explanation for the recommendation to the UTHSC Chief Academic Officer with a copy provided to the tenure candidate at the same time.

4.15.4 Recommendation of the UTHSC Chief Academic Officer

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

4.15.5 Chancellor's Recommendation

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

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

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

4.15.6 President's Action or Recommendation

The President acts only on the Chancellor's positive recommendation for tenure. If the President concurs in the positive recommendation ~~of the Chancellor~~, he or she shall grant tenure if he or she is authorized to do so, and the Chancellor shall give the faculty member written notice of the effective date of tenure. If only the Board is authorized to grant tenure, the President shall submit the recommendation ~~for~~ to grant tenure, and summary explanation for the recommendation, to the Board of Trustees. If the President does not concur in the positive recommendation of the Chancellor, the Chancellor shall give the faculty member, Chair, Dean, and Chief Academic Officer written notice that tenure will not be awarded. However, the President may decide that the best

~~interests of The University would not be served by the award of tenure to a faculty member. In such a case, the President will notify the Chancellor, who will inform the Chief Academic Officer, the Dean, the Chair, and the faculty member.~~

4.15.7 Action by the Board of Trustees when Required

~~No person shall acquire or be granted tenure except by positive action of the Board of Trustees upon the recommendation of the President. The Board of Trustees acts only on positive recommendations.~~ Only the Board of Trustees is authorized to grant tenure in certain cases specified in Article III.B. of the Board of Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure. In those cases, the Board of Trustees acts only on the President's positive recommendations for tenure. After positive action by the Board of Trustees to grant tenure, the ~~Chancellor and Dean~~ President shall give the faculty member written notice of the effective date of tenure.

4.16 Career Development and Evaluation of Tenured Faculty Members

4.16.1 General

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

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

4.16.2 Career Development Planning and Evaluation Process for Tenured Faculty Members

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

1. to mutually establish academic goals for the faculty member (i.e., distinctive requirements of the faculty position in teaching, research, service, and/or patient care);
2. to evaluate the faculty member's performance in achieving these previously established academic goals; and
3. to provide the faculty member with a routine opportunity to seek and receive advice and guidance from the Chair.

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

4.16.3 Annual Performance and Planning Review

The Board's policy on tenure states that each faculty member and his or her Department Chair will engage in a formal Annual Performance and Planning Review, examining the previous year's activities and planning what should occur during the coming year. The procedure for the Annual Performance and Planning Reviews at UTHSC is found in the Faculty Evaluation Manual. The Board's policy also stipulates that each faculty member's Annual Performance and Planning Review should proceed from guidelines and criteria which are appropriate to the department, college, and UTHSC (Section 4.4.2). A document summarizing the review – including an objective rating of the

faculty member's performance – must be signed by the faculty member (to acknowledge receipt of the review document) and the Chair; a copy must be sent to the Dean. Copies of the summary document and the Annual Performance and Planning Review are given to the faculty member and placed in his or her personnel file. An example of the summary document and details regarding the evaluation procedure can be found in the Faculty Evaluation Manual.

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

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

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

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

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

4.16.4 Cumulative Performance Review (CPR)

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

1. a faculty member whose annual review is Unsatisfactory in any two of five consecutive years; or

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

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

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

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

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

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

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

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

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

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

4.16.5 Career Remediation Program

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

4.16.6 Recognition of Excellence

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

Section 5. Selection, Appointment, and Career Development of Nontenure Track Faculty Members

Section 5 omitted for brevity

Section 6 Faculty Ranks, Classifications of Appointments, and Promotion

Section 6 omitted for brevity

Section 7 Faculty Grievances

Section 7 omitted for brevity

Section 8 Termination of a Tenured Faculty Member and Procedures for Termination of a Tenured Faculty Member for Adequate Cause

Section 8 omitted for brevity

Appendix A – Organizational Charts

Appendices A through I omitted for brevity

Appendix J – Procedure for the Annual Performance-and-Planning Review

Appendix J omitted for brevity

Appendix K – Procedure for the Interim Probationary Review for the Award of Tenure

Appendix K omitted for brevity

Appendix L – Procedure for the Final Probationary Review for the Award of Tenure

General Information about the Final Probationary Review

The Final Probationary Review is a two-part review by (1) the tenured departmental or divisional faculty (or the Collegiate Promotion and Tenure Committee (CPT Committee), if appropriate) and (2) the Chair (*Faculty Handbook*, Section 4.14.3.4). According to the Board's policy on tenure, an adequate evaluation of a tenure candidate's qualifications, professional contributions, potential, and determination of whether he or she should be accepted as a tenured member of the UTHSC academic community, requires the judgment of both the candidate's faculty colleagues and the responsible administrators (*Faculty Handbook*, Section 4.15.1). Thus, although recommendations for tenure are administrative actions that must be approved by the [President or](#) Board of Trustees, there should be no positive recommendation for tenure without formal consultation with the tenured faculty of the department in which the candidate holds his or her position (*Faculty Handbook*, Section 4.15.1). At UTHSC this formal consultation with the tenured faculty in the candidate's department is contained in the Interim and Final Probationary Reviews of the candidate's performance by the tenured faculty of his or her department (*Faculty Handbook*, Sections 4.14.3.3, 4.14.3.4 and 4.15.1). If a department does not have at least three tenured faculty members (excluding the Dean and Chair), the CPT Committee (Section 4.4.2) will perform this review; however, any departmental tenured faculty members will have the opportunity to review the candidate's dossier and vote anonymously on the recommendation to award tenure. In large departments (e.g., Medicine, Pediatrics, etc.), the Chair may divide the tenured departmental faculty by divisions in order to form several committees composed of five or more tenured faculty members.

Each year the UTHSC Chief Academic Officer publishes and distributes a detailed schedule for the Final Probationary Reviews and the process related to the recommendation of the award of tenure. Generally, a faculty member's preparation for this review begins in September. Each candidate will prepare a dossier, containing the documents required for this review by the tenured faculty (*Faculty Handbook*, Sections 4.11.2 and 4.14.3.4). [External](#) [Extra-departmental](#) review of the dossier may be permitted in any case and required when sufficient expertise is lacking among the tenured departmental faculty (*Faculty Handbook*, Section 4.14.3.4). [An example of the summary document for the Final Probationary Review \(Form 5\) is attached.](#)

Procedure for the Final Probationary Review

The Department Chair may delegate his or her responsibility for the Final Probationary Review to other individuals. [The procedure for the Final Probationary Review should include the following elements:](#)

- ~~a. The Chair should counsel the faculty member concerning updating his or her curriculum vitae and the identification of supporting documentation to be submitted to the tenured departmental or divisional faculty (or CPT Committee) (*Faculty Handbook*, Section 4.11.2). The faculty member, in consultation with the Chair, should compile a dossier containing all documents to be submitted for review. Although each department's tenured faculty and Chair determine what additional items are required for a candidate's dossier, the dossier must include at least the following items (*Faculty Handbook*, Section 4.11.2):~~
 - ~~1. Current Curriculum Vitae, in the form required by UTHSC;~~

- ~~2. The initial appointment letter and annual reappointment letters with all figures related to salary or income completely obscured;~~
- ~~3. Annual accomplishments and goals, written by the candidate, since accepting a tenure track faculty appointment at UTHSC;~~
- ~~4. 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 3 above; and~~
- ~~5. Documents pertaining to the candidate's Interim Review, if relevant.~~
- ~~6. External reviews; and~~
- ~~7. Peer review of teaching.~~

~~The faculty member may also include in the dossier any other documents that he or she believes may assist the tenured faculty in its review or be relevant to a positive recommendation (*Faculty Handbook*, Section 4.11.2). Such documents may include, but are not limited to, sample publications; summaries of student teaching evaluations, as well as other indicators of teaching performance; or letters of evaluation. A letter of evaluation contains a subjective peer-evaluation of a candidate's accomplishments and professional standing. For any candidate the maximum number of requested letters of evaluation is six (*Faculty Handbook*, Section 4.11.2). Within a department the number and nature of required letters should be uniformly applied to every faculty member. Any letters of evaluation should be directed to the Chair.~~

- b. The tenured departmental or divisional faculty (or CPT Committee, if appropriate) will review the dossier and meet for the purpose of recording a formal, anonymous vote on the recommendation to award (or not award) tenure (*Faculty Handbook*, Section 4.14.3.4). A quorum shall be fifty percent (50%) of the tenured 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 tenured faculty members present (*Faculty Handbook*, Sections 4.4.2 and 4.4.3). Following the review of the candidate's dossier, the tenured faculty will record a formal, anonymous vote on the recommendation (*Faculty Handbook*, Section 4.14.3.4). The tenured faculty's report to the Chair shall contain the following: a list of the tenured faculty members in attendance; the majority and minority views, if relevant; and the summary vote. A copy of this report must accompany the request for the award of tenure forwarded to the Collegiate Promotion and Tenure Committee, the Dean, the UTHSC Chief Academic Officer, and the Chancellor (*Faculty Handbook*, Section 4.14.3.4).
- c. The Chair reviews the dossier(s) and considers the recommendation(s) of the tenured departmental or divisional faculty (or CPT Committee). Then, the Chair makes **an independent judgment on the tenure candidacy of a recommendation concerning** each faculty member under consideration (*Faculty Handbook*, Sections 4.14.3.4 and 4.15.2). In a case in which the award of tenure is recommended, the Chair **shall submit his or her recommendation to the dean with a written explanation of his or her judgment, with a copy provided to the tenure candidate and the tenured departmental faculty at the same time** ~~prepares a letter of nomination to the Dean~~. The letter of nomination must contain the following items:

1. Name of the faculty member;
2. Date of the original appointment;
3. Date of any prior promotion;
4. Date on which the recommended award of tenure would become effective;
5. The faculty member's professional discipline or field; and
6. Examples of important and specific accomplishments in teaching, scholarly activities, service, and/or patient care, as appropriate for the individual faculty member.

If the Chair recommends an individual for the award of tenure in contrast to a negative recommendation of the tenured faculty, this fact must be noted in the Chair's nominating letter and the reason(s) for the Chair's action must be explained (*Faculty Handbook*, Section 4.14.3.4). 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.

~~Some faculty members may be recommended for the award of tenure earlier than one year before the end of their probationary period. However, this is an exceptional request that must be accompanied by letters of explanation from the Chair to the Dean and from the Dean to the UTHSC Chief Academic Officer. Individuals recommended for the award of tenure at this time will be evaluated primarily on their accomplishments at UTHSC and on the value of the faculty member to UTHSC in the future (*Faculty Handbook*, Section 4.14.3.4).~~

- d. Whenever the recommendation of the Chair differs from that of the tenured departmental or divisional faculty (or CPT Committee), ~~the Chair's recommendation must explain the reasons for the differing judgment and~~ the Chair must ~~notify the tenured faculty and provide them with a copy of the recommendation summary explanation letter to the tenure candidate and the departmental tenured faculty.~~ The tenured faculty will meet again to consider whether a dissenting report should be developed and forwarded to the chair of the CPT Committee (*Faculty Handbook*, Sections 4.14.3.4 and 4.15.2) ~~, with a copy provided to the tenure candidate at the same time.~~
- e. All tenure recommendations of the Department Chair, whether positive or negative, must be reviewed by the Dean of the College (*Faculty Handbook*, Section 4.15.3). ~~Except in colleges without subdivisions, each college with regular faculty has a CPT Committee (*Faculty Handbook*, Section 4.4.3).~~ The recommendation of the CPT Committee is advisory to the Dean (*Faculty Handbook*, Section 4.15.3).

All required documents of candidates for the award of tenure (Form 5 and all attachments) must be forwarded from the department to the collegiate academic officer and the CPT Committee by the end of January. Any negative or controversial recommendation should be forwarded to the collegiate academic officer as soon as possible, but not later than the end of January. Extra time may be required for reviews at higher levels or for appeal by the faculty member. In addition, summary information (Form 6) on all candidates for the award of tenure should be sent from the department to the collegiate academic officer.

Recommendations (Form 5 and all attachments) are presented by the collegiate academic officer to the CPT Committee (*Faculty Handbook*, Section 4.15.3). The committee will vote anonymously on each recommendation, thereby making a positive or a negative recommendation on each candidate to the Dean. A quorum shall be fifty percent (50%) of the tenured faculty eligible to vote on a given candidate, and a positive or negative recommendation

shall be decided by a simple majority of those tenured faculty members present (*Faculty Handbook*, Section 4.4.3).

If the CPT Committee renders a negative recommendation, the Department Chair will be informed in writing of the reason(s) for the recommendation (*Faculty Handbook*, Section 4.15.3). The Department Chair may appeal to the Dean before the recommendation at the college level is made.

- f. The Dean will make a recommendation based on advice of the CPT Committee, the Department Chair and the tenured faculty, as well as on the basis of other circumstances, including personal knowledge of individuals and the needs of the college (*Faculty Handbook*, Section 4.15.3). In the case of a positive recommendation by the Dean, he or she will advise the Chair. In a case of any negative recommendation by the Dean, the Dean will provide the individual faculty member and the Chair with written notice of that recommendation and explanation for the recommendation. The faculty member must be notified about the negative recommendation and must be informed of his or her right to consult with the UTHSC Chief Academic Officer prior to or at the same time as the Dean forwards the recommendation to the next level of review.
- g. After making an independent judgment on the tenure candidacy, the Dean shall forward his or her recommendation and explanation for the recommendation to the UTHSC Chief Academic Officer with a copy provided to the tenure candidate at the same time (Form 5 and all attachments) (*Faculty Handbook*, Section 4.15.3). Any negative or controversial recommendation should be forwarded from the Dean to the UTHSC Chief Academic Officer as soon as possible, but not later than the end of February. Extra time may be required for reviews at higher levels or for appeal by the faculty member. By the beginning of April all recommendations and required supporting documents must be forwarded to the UTHSC Chief Academic Officer.
- h. All tenure recommendations of the Dean, whether positive or negative, shall be reviewed by the UTHSC Chief Academic Officer (*Faculty Handbook*, Section 4.15.4). The UTHSC Chief Academic Officer, in consultation with the Chancellor, evaluates the college recommendations in light of general knowledge of individuals and the needs of UTHSC. During March and April, the UTHSC Chief Academic Officer prepares a consolidated report. After making an independent judgment on the tenure candidacy, the UTHSC Chief Academic Officer shall forward his or her recommendation and summary explanation for the recommendation to the Chancellor with a copy provided to the tenure candidate at the same time.
- i. During April, all tenure recommendations of the UTHSC Chief Academic Officer whether positive or negative, shall be reviewed by the Chancellor (*Faculty Handbook*, Section 4.15.5). After making an independent judgment on the tenure candidacy, the Chancellor shall forward only positive recommendations with a summary explanation for the recommendation to the President by the beginning of May with a copy provided to the tenure candidate at the same time. Summary information on each faculty member being considered for tenure should be sent to the Office of the System Vice President with responsibility for Academic Affairs.

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

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

- j. ~~The President acts only on the Chancellor's positive recommendation for tenure.~~ If the President concurs in the positive recommendation ~~of the Chancellor,~~ he or she shall ~~grant tenure if he or she is authorized to do so, and the Chancellor shall give the faculty member written notice of the effective date of tenure. If only the Board is authorized to grant tenure, the President shall submit the recommendation for to grant tenure, and summary explanation for the recommendation~~ to the Board of Trustees (*Faculty Handbook*, Section 4.15.6). However, the President may decide that the best interests of The University would not be served by the award of tenure to a faculty member. In such a case, the President will notify the Chancellor, who ~~shall give the faculty member, Chair, Dean, and Chief Academic Officer written notice that tenure will not be awarded.~~ ~~will inform the Chief Academic Officer, the Dean, the Chair, and the faculty member.~~
- k. ~~No person shall acquire or be granted tenure except by positive action of the Board of Trustees upon the recommendation of the President (*Faculty Handbook*, Section 4.15.7).~~ ~~Only the Board of Trustees is authorized to grant tenure in certain cases specified in Article III.B. of the Board of Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure. In those cases, the Board of Trustees acts only on the President's positive recommendations for tenure.~~ ~~The Board of Trustees acts only on positive recommendations.~~ After positive action by the Board of Trustees ~~to grant tenure,~~ the ~~Chancellor and Dean~~ ~~President~~ shall give the faculty member written notice of the effective date of tenure.

See: <https://academic.uthsc.edu/docs/Faculty-Evaluation-Calendar.pdf>

Appendix N – Procedure for Effecting Promotion in Rank

| [Appendix N omitted for brevity](#)