CHAPTER THREE
Appointment, Evaluation, Promotion, Tenure, and Review for All Tenure-track and Tenured Faculty.

This section contains policy governing the academic status of tenure-track and tenured faculty. In the normal case, a faculty career begins with appointment as a tenure-track assistant professor for a period of up to six years, during which the faculty member is evaluated for tenure and promotion to associate professor. After another interval, usually five or more years, associate professors can be considered for promotion to professor. All faculty members are expected to achieve a sufficient level of accomplishment in teaching, research/creative activity, outreach, and service to merit promotion to full professor. Throughout this career path, all faculty members have annual reviews and appropriate reviews for promotion and tenure.

3.1. PROCESS FOR APPOINTMENT OF NEW FACULTY TO TENURE-TRACK POSITIONS
1. The department head obtains authorization to search for a new tenure-track faculty member after consultation regarding the needs of the program with departmental faculty, the dean, and the chief academic officer of the university. An authorization to search does not necessitate appointment, as financial conditions within the university or the inability to hire an appropriate candidate may prevent appointment.

2. The University seeks to recruit a diverse faculty and is fully committed to affirmative action at all levels. A description of University requirements for all searches is provided in Guidelines for Conducting Academic and Staff-Exempt Searches at the University of Tennessee.

3. A thorough search and careful selection must precede any departmental recommendation of appointment. The Head must consult with the departmental faculty about the needs of the program. A faculty search advisory committee assists the Head in identifying suitable candidates. Departmental faculty members, as a group and individually, must have full

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1 For faculty appointments based in the Institute of Agriculture, for the purpose of consideration of tenure, a “year” of service is deemed to terminate on June 30. If the faculty member has served less than nine months on June 30 of the first year of employment, his/her first year will be deemed to end on June 30 of the next year of employment, unless the appointment letter provides otherwise.

2 The term “department” is used herein to designate the smallest academic unit of the University. In some cases, this unit may be a school or college.
opportunity to help determine the needed expertise, the formation of the search committee, the pool of candidates, the persons selected for interview, and the final choice. The decision to hire a particular candidate requires a faculty vote. If the Head’s recommendation diverges from that of the faculty, the Head must explain his/her reasons in detail to the faculty, who have the right to appeal the decision to the Dean and chief academic officer.

4. Following the decision to recommend appointment, the Head and prospective faculty member typically discuss informally rank, salary, and other terms of employment. Such discussions inform the recommendations of the Department Head but do not constitute a binding commitment by the University.

5. Notification of appointment is made by letter from the chief academic officer. This appointment letter specifies (a) rank, (b) salary and related financial conditions, (c) probationary status, indicating annual notification of his/her retention status and progress toward tenure and promotion, (d) the academic year during which a tenure decision must be reached, (e) general duties and expectations, and (f) the home department, in the case of joint appointments; and (g) the appropriate peer group to be consulted during promotion, retention, and tenure considerations. Previous correspondence between the Department Head, Dean or Director, and prospective faculty member concerning these matters is unofficial and not binding on the University.

6. Written acceptance of the letter of appointment, together with execution of normal University employment forms, completes the initial agreement of employment between the University and the new faculty member.

Terms. Generally, regular nine-month academic year appointments begin August 1 and end July 31. Faculty members on nine-month contracts are expected to be on campus a week before the beginning of classes and until commencement in the spring. Generally, regular twelve-month appointments run July 1 through June 30.

3.2 CRITERIA FOR APPOINTMENT TO FACULTY RANK

All who are appointed as tenure-track and tenured faculty are expected to contribute to the missions of teaching, research/creative activity, public service, and outreach. While the general scope of performance at a particular rank is consistent across the University, the particular requirements of the varying ranks are a function of the discipline and are typically defined by the faculty of the department in which an appointment resides. The exact apportionment of effort in teaching, research/creative activity, service, and outreach is a function of the skills of the faculty member and the needs of the department and university. All tenured and tenure-track faculty, however, are expected to pursue and maintain excellence in research/scholarship/creative activity.
In addition to the expectations listed for each rank below, the University requires the Head to determine and attest that each person appointed to the faculty is competent in written and spoken English.

**Professors** are expected:
1. to hold the doctorate or other terminal degree of the discipline, or present equivalent training and experience appropriate to the particular appointment;
2. to be accomplished teachers;
3. to have achieved a nationally recognized record in the scholarship of research/creative activity;
4. to have a record of significant institutional, disciplinary, and/or professional service;
5. normally, to have served as an associate professor for at least five years; and
6. to have shown beyond doubt that they can work well with colleagues and students.

**Associate Professors** are expected:
1. to hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
2. to be good teachers;
3. to have a recognized record in disciplinary research/creative activity;
4. to have a record of institutional, disciplinary, and/or professional service;
5. normally, to have served as an assistant professor for at least five years; and
6. to have demonstrated clearly that they can work well with colleagues and students.

**Assistant Professors** are expected:
1. to hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
2. to show promise as teachers;
3. to develop a program in disciplinary research/creative activity that is gaining external recognition;
4. to have a developing record of institutional, disciplinary, and/or professional service; and
5. to show evidence that they can work well with colleagues and students.

In all of these ranks, concerned and effective advising and responsible service to the University are understood to be part of the normal task of a University faculty member, as is working well with colleagues and students.

It is incumbent upon faculty and administrators to engage in professional development activities. Such activities lead to continuous improvement in performance and enhance the ability of all to contribute at the leading edge of the discipline and/or in leadership roles. Many types of opportunities are available, including one- or two-semester faculty professional leaves [link],
small professional development grants through the University, larger grants through external
funding, and participation in professional conferences and workshops, The University of
Tennessee Leadership Institute, opportunities to focus on teaching and scholarly outreach, and
participation in a wide variety of interdisciplinary activities available to faculty separate from
more formal interdisciplinary programs.

3.2.1 Emeritus Rank
At the discretion of the chief academic officer and upon the recommendation of the Department
Head and Dean, faculty members who are Professors at the time of retirement may be awarded
the rank of Emeritus. In special cases of long and meritorious service, persons who have retired
with the rank of Associate Professor or Assistant Professor may also be awarded the rank of
Emeritus.

3.3 CLASSIFICATIONS OF APPOINTMENT
There are two types of appointment: full-time academic year (nine-month) appointments and full-
time twelve-month appointments, applicable to some faculty in administrative appointments and
faculty in the Institute of Agriculture. Those on twelve-month appointment accrue sick leave and
vacation time in accordance with University personnel policies [link].

3.4 SPECIAL FACULTY TITLES
Endowed Chairs, Professorships, Fellowships. The University has received endowments to
fund chairs, professorships, and fellowships. Nominations for these positions are made on the
basis of the terms set by the endowments. These positions may provide a salary supplement,
additional research funds, secretarial support, graduate student funding, or release time to pursue
research/creative projects.

Distinguished Professors. This title is awarded to candidates at the rank of professor who have
displayed an exceptional record of teaching, research and/or creativity, and service.

Distinguished Scientists. Appointments as Distinguished Scientists are awarded to faculty who
contribute significantly to nationally and internationally recognized research. They are typically
paid jointly by UT and the Oak Ridge National Laboratory (ORNL) under the auspices of The
Science Alliance, a center of excellence at UTK established in 1984 by the Governor and the
Tennessee Legislature, with the support of THEC.

University Distinguished Research Professor. This title is awarded to faculty at the rank of
professor for exceptional records in research.
University Professor. This title is awarded to faculty at the rank of professor in recognition of exceptional academic accomplishments.

3.5 Joint and Intercampus Appointments

Joint appointments involve participation in the teaching and research of two or more departments or research units such as ORNL. Joint appointments with the Agricultural Experiment Station, the College of Agricultural Sciences and Natural Resources, and the Agricultural Extension Service are common in the Institute of Agriculture. The primary department with which the faculty member is affiliated, through which all matters of promotion, salary raise, and tenure are processed, is the “home” department. On all matters the home department should consult with the Department Head and faculty of the other unit. Where joint appointments involve equal time in two or more units or service primarily within an interdisciplinary program, it is the shared responsibility of the heads, deans, or other administrative officers to make appropriate recommendations; and in such cases one of the two units should be designated as the home department. The original appointment letter must specify the faculty member’s home department, administrative reporting relationships, and the peer group(s) to be consulted in tenure and promotion recommendations. The University recognizes that as the shape of knowledge changes, new disciplinary and interdisciplinary needs may emerge which do not precisely correspond to existing administrative or departmental lines.

Transfers from one University of Tennessee system campus to another follow procedures outlined above for all other appointments. Advice from the faculty, recommendation of the Head, and approval of the Dean and chief academic officer are all necessary. All aspects of the new appointment — title, rank, term of appointment, and tenure — are freshly determined. This renegotiation does not jeopardize the faculty member’s participation in group insurance, retirement plans, and other standard employment benefits of the statewide University.

Intercampus academic appointments are sometimes authorized when it appears that a faculty member at one campus has expertise that qualifies him/her for participation in the work of a department on another campus, and when the department has need of his/her services. The definition and extent of such intercampus participation is determined by mutual agreement between the faculty member and the heads, directors, or chairpersons in consultation with appropriate faculty of the academic units involved, and the respective deans, vice chancellors, or other campus officers. In these cases, the following guidelines are observed:

1. The appointment is normally without salary or tenure in the cooperating or second department (i.e., the unit awarding the intercampus appointment); tenure and salary continue to be linked with the base or “home” department.

2. The Head of the base department recommends the intercampus appointment to the Head of the cooperating department, following informal discussion or negotiation.
3. The appointment is made by the cooperating department with approvals by the Dean, chief academic officer, and Chancellor.

4. The title of the faculty member in the cooperating department is determined by mutual agreement between the Head and the faculty member, subject to approval by the Dean and chief academic officer.

3.6 Summer Semester Appointments

Faculty holding regular full-time academic year appointments may teach up to six credit hours during the Summer Semester. Exceptions to this limitation may be granted by petition to the chief academic officer. Ordinarily, faculty are paid extra compensation for summer semester teaching. Appropriate percentages of full-time effort and pay are arranged by the Department Head, Dean, and the chief academic officer.

3.7 Faculty Duties and Workload

The assigned workload for full-time faculty consists of a combination of teaching, advising, research/creative activity; institutional and/or public service, and outreach. The individual mix of these responsibilities is determined annually by the Department Head, in consultation with each faculty member, with review and approval of the Dean and chief academic officer. The University requires that each member of the faculty perform a reasonable and equitable amount of work each year.

The normal maximum teaching responsibility of a full-time faculty member engaged only in classroom teaching is 12 credit hours each semester. The precise teaching responsibility of each individual will be based on such things as class size and the number of examinations, papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught and other appropriate considerations will be used to determine teaching responsibility. Classroom teaching responsibility may be reduced by the Department Head for other justifiable reasons including student advising, active involvement in research and/or creative activities (with publications or other suitable forms of recognition), direction of graduate theses or dissertations, teaching non-credit courses or workshops, administrative duties, and institutional and/or public service or outreach.

3.8 Faculty Review and Evaluation

Annual review for all faculty members. Every faculty member at the University of Tennessee who is not on leave is reviewed annually. The goals of these reviews are:

1. review of accomplishments as compared to previously set specific objectives for the faculty member by the faculty member and the head consistent with departmental bylaws, the Manual for Faculty Evaluation, and the Faculty Handbook;
2. establishment of new objectives for the coming year, as appropriate, using clearly understood standards that are consistent with departmental bylaws, the Manual for Faculty Evaluation, and the Faculty Handbook;

3. provision of the necessary support (resources, environment, personal and official encouragement) to achieve these objectives;

4. a fair and honest assessment of the performance of the faculty member by appropriate colleagues and the department head; and

5. appropriate recognition and reward for outstanding achievement.

The review process involves:

1. a scheduled discussion with the department head;

2. a narrative document describing and discussing the performance of the faculty member by the department head based on procedures and standards in the departmental bylaws, Manual for Faculty Evaluation, and the Faculty Handbook; and

3. an evaluation by the department head of exceeds expectations, meets expectations, needs improvement, or unsatisfactory.

The narrative and evaluation are signed by both participants. The faculty member's signature indicates that she or he has read the evaluation, but the signature does not necessarily imply agreement with its findings. The faculty member has the right to make a written response to this evaluation. Both the narrative and the evaluation are forwarded to the college dean.

**Annual retention review for tenure-track faculty members.** In addition to the above process, each tenure-track faculty member has an annual retention review by the tenured faculty of the department to assess progress. A summary of the review, including recommendations to the candidate and a record of a retention vote by the tenured faculty, are shared with the faculty member and the department head. The department head includes this summary and vote as part of the materials submitted to the dean with the annual narrative and recommendation from the head.

**Cumulative performance review for tenured faculty members.** Cumulative performance reviews for tenured faculty are triggered by evaluations from annual reviews. Faculty members whose performance is found to be unsatisfactory in two out of five consecutive years or whose evaluations are any combination of needs improvement or unsatisfactory in any three of five consecutive years undergo cumulative performance review. Procedures for Cumulative Reviews are provided in the Manual for Faculty Evaluation.

### 3.9 Salary

In general, salary recommendations are made by the Head. However, in some departments, salary decisions are made by faculty committees or are determined by numerical rankings. When the head makes the salary recommendations, he or she is expected to share with the departmental faculty as a whole the general principles and reasoning in determining salary recommendations.
Faculty members may appeal salary determinations, using the procedures discussed in Chapter 5. Committees of the Faculty Senate regularly review priorities for budget allocations for salaries.

Recommendations for salary adjustments are reviewed and approved, altered, or rejected by each of the following officers: Dean or Director and chief academic officer. Alteration or rejection of salary adjustments at any level will be communicated through the administrative line to the Head. The Board of Trustees must give final approval. Faculty will be notified of their salary adjustments in a timely manner.

3.10 PROMOTION

The criteria for promotion to a rank are the same as those given above for initial appointment to that rank. Annual performance reviews form the basis of a cumulative record that prepares a faculty member for promotion. The initial appointment letter states the date on which assistant professors will be considered for promotion to associate professor. The full specified period will normally be served before consideration for promotion. Exceptions to this policy require approval by the chief academic officer. For promotion to full professor, the normal minimum period is five years after promotion to associate professor rank.

The full procedure for consideration of candidates for promotion is given in the Manual for Faculty Evaluation, which should be consulted carefully so that the process is completely understood and closely followed. The process begins with submission of materials by the candidate and departmental solicitation of external letters assessing the record of scholarship/creative activity. Departmental faculty at or above the rank to which promotion is sought review these materials and vote on promotion. The department head reviews the material and faculty vote, then makes an independent recommendation to the dean. The college committee reviews the file and makes an independent recommendation to the dean, who reviews the file and makes a recommendation to the chief academic officer. The chief academic officer reviews the file and makes a recommendation to the senior administration or university president, upon whose recommendation the Board of Trustees makes a decision regarding promotion at its last meeting of the state fiscal year.

Right of Candidate to Review File. The candidate has a right to review his/her file at any stage of the process. The candidate is to be informed of any additions made to his/her file after submitting it and be given an opportunity to review and respond to the addition at any stage of the process.

3.11 TENURE

Procedures for awarding tenure are given in the Manual for Faculty Evaluation.

3.11.1 Definition and Location of Tenure
Eligibility for tenure. A system for the awarding of tenure is provided for all regular faculty members except those designated as non-tenure-track faculty. (See Chapter 4.) 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 and department head, dean, and chief academic officer. Although a separate recommendation is made for promotion and for award of tenure, the presumption is that a recommendation for promotion to the rank of Associate Professor is consistent with a recommendation for the granting of tenure. Under normal circumstances, tenure will not be awarded to individuals who have not been recommended for the rank of Associate Professor. Nor, under normal circumstances, will a recommendation for promotion to Associate Professor or Professor without tenure be approved.

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 awarded after a thorough review which 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. This presumption is rebuttable; it is not a guarantee of lifetime employment. The award of tenure shifts the burden of proof concerning the faculty member’s continuing appointment from the faculty member to the University. A tenured person may be dismissed only in accordance with the procedures outlined below.

The granting of tenure is based not only on the individual’s professional excellence but also includes consideration of the anticipated needs of the academic program for the foreseeable future. Professional excellence is reflected in good teaching; scholarship, research, or other creative work in the discipline; participation in professional organizations; willingness to contribute to the common life of the University; effective work with colleagues and students, including the faculty member’s ability to interact appropriately with colleagues and students, and public service. 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.

Who awards tenure. Tenure is acquired only by positive action of the Board of Trustees upon the recommendation of the President.

“Location” of tenure. Tenure at The University of Tennessee is granted in a particular academic unit (e.g., department, school) of a specific campus in a position appropriate to the faculty member’s qualifications. Although the granting of tenure is an administrative recommendation that must be approved by the Board of Trustees, the source of judgment for tenure
recommendation must be that of faculty peers competent to evaluate the professional standing of a faculty member.

If a tenured faculty member voluntarily transfers from one University of Tennessee campus to another, his or her tenure 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.

Voluntary transfers of tenure between departments on the same campus do not require Board approval, but must be approved by the responsible campus administrator in consultation with the tenured faculty of the receiving unit, with notice to the Board of Trustees. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted, in writing, by the transferring faculty member. If a 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 administrative position within the University, neither of which can carry tenure, the faculty member retains tenure in the full-time faculty position he or she vacated.

Reorganizations which result in the merger or splitting of academic units do not affect the tenure or probationary status of the faculty involved. Tenured faculty members in such reorganization will have tenure in the new unit or program to which they are assigned.

Procedures for awarding tenure are contained in the Manual for Faculty Evaluation.

3.11.2 Termination of Tenure

The employment of tenured faculty members may be terminated in the following ways:

1. Relinquishment or forfeiture of tenure. A tenured faculty member relinquishes tenure upon resignation or retirement from the University. A tenured faculty member forfeits tenure upon taking an unauthorized leave of absence or failing to resume the duties of his or her position following an approved leave of absence. Forfeiture results in automatic termination of employment. The chief academic officer shall give the faculty member written notice of the forfeiture of tenure and termination of employment. The faculty member may appeal this action under the general appeals procedures outlined in Chapter 5 [link].

2. Resignation or retirement. See Resignation and Retirement, section 3.12 [link].
3. Extraordinary circumstances. Extraordinary circumstances warranting termination of tenure may involve either financial exigency or academic program discontinuation. In the case of financial exigency, the criteria and procedures outlined in the Board approved Financial Exigency Plan for each campus shall be followed. In the case of academic program discontinuance, the termination of tenured faculty may take place only after consultation with the faculty through appropriate committees of the department, the college, and the Faculty Senate.

In either case the termination of tenured faculty may take place only after sustained deliberation and discussion of the exigency or of the program change. Such deliberations and discussions must primarily include the faculty of the University through appropriate committees of the Faculty Senate, of the college, and of the department involved. In either event the full educational mission of the University must have been reviewed carefully.

If termination of tenured faculty positions becomes necessary because of financial exigency or academic program discontinuance, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member.

Priority must be given to quality and seniority of service, as defined by knowledgeable faculty representatives. Tenured faculty given notice of termination for “extraordinary circumstances” may appeal the decision (see Chapter 5). The position of any tenured faculty member displaced because of financial exigency or academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer.

The procedures and criteria to be followed in the event of an explicit declaration of financial exigency are described in detail in the University of Tennessee Financial Exigency Plan.[link]

4. Adequate Cause. "Adequate cause" includes the following and similar types of reasons:

Category A: Unsatisfactory Performance in Teaching, Research, or Service

(a) failure to demonstrate professional competence in teaching, research, or service;

(b) failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to (a) failure to comply with a lawful directive of the department head, dean, or chief academic officer with respect to the faculty member's duties or responsibilities; and (b) inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;
Category B: Misconduct

(a) failure or persistent neglect to comply with University policies, procedures, rules, or other regulations, including but not limited to violation of The University's policies against discrimination and harassment;

(b) falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;

(c) theft or misappropriation of University funds, property, services, or other resources;

(d) admission of guilt or conviction of: (i) a felony; or (ii) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration;

(e) any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.

5. Disciplinary Sanctions Other than Termination for Adequate Cause

Disciplinary sanctions other than termination may be imposed against a faculty member. If the proposed sanction is suspension without pay for a definite term (no more than one year), the procedures applicable to termination shall be offered prior to suspension, provided, however, that the procedures shall be modified as follows; (1) suspension without pay for a definite term (no more than one year) may be imposed as a sanction by the Chancellor without review by the President and the Board of Trustees; and (2) the Chancellor may determine that the expedited procedure for suspension without pay is applicable to the conduct (see Appendix C concerning the expedited procedure).

If the proposed sanction does not involve suspension without pay, the department head shall make a recommendation to the dean, and the dean shall make a recommendation to the chief academic officer. The chief academic officer shall give the faculty member written notice of the proposed sanction and the supporting reason(s) and shall offer him or her an opportunity to respond both in writing and in person. The faculty member may appeal the proposed sanction through established appeal procedures, and the sanction shall be held in abeyance until conclusion of the appeal.

The faculty member may appeal termination for adequate cause or disciplinary sanctions other than termination for Adequate Cause under the general appeal procedures outlined in Chapter 5.
The procedure for revocation of tenure and termination for adequate cause is found in the Manual for Faculty Evaluation.

3.12 Resignation and Retirement

Resignation. Tenure (see above) is forfeited upon resignation from the University. If a faculty member resigns, but is re-employed by the University, tenure will be awarded only subsequent to the procedures outlined above.

Since faculty appointments are made for the academic year (or, in exceptional cases, for one or more designated semesters), it is expected that faculty members who wish to resign will do so effective at the end of the academic year (or, again in exceptional cases, at the end of a semester). In all cases notification of resignation must be made early enough to allow the University to cover any scheduled assignments.

Teaching faculty on academic year appointments who resign before the end of the academic year are paid for the number of semesters they have taught, at one half of annual salary per semester. Faculty members on twelve-month appointments will receive leave pay due on resignation.

Retirement. Under normal circumstances, a member of the faculty controls the decision to retire. The effective date of retirement for academic-year faculty is normally at the end of either the Fall or Spring Semesters. Computation of the final payment for the last year of service is calculated in the same way as for resignations (above). Thus, a faculty member who resigns at the end of the Fall Semester will have been paid five of the six monthly payments earned and will be due one additional payment. Faculty on twelve-month appointments will receive annual leave pay due on retirement.