



1999

Manual for Faculty Evaluation, 1999

University of Tennessee - Knoxville

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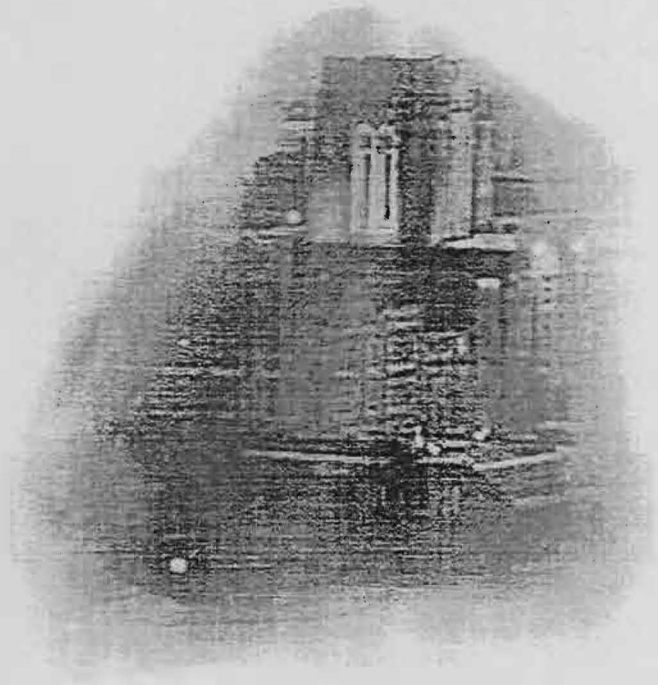
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Manual for Faculty Evaluation

**The University of Tennessee, Knoxville
1999**



Office of Academic Affairs

Last Revision: November 15, 1999

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Preface

The University of Tennessee, Knoxville adheres to the land-grant philosophy that every department in the institution should be actively engaged in quality teaching, productive scholarship, and responsible service. Moreover, the institution expects the balance between scholarship, service and instruction to be such that in each faculty member's activities a natural integration occurs. The emphasis on any one of the triad, however, may vary at different stages of a faculty member's career (e.g., scholarship and instruction are likely to receive more emphasis than service in the probationary stage).

In its definition of professional excellence, for purposes of evaluation for tenure, the University of Tennessee Board of Trustees includes, in addition to a faculty members ability to maintain high standards in teaching, research, and service, a faculty member's ability to interact appropriately with colleagues and students.¹ To assess the quality of a faculty member's performance in teaching, research, creative and/or scholarly achievement, and service, feedback from students, peers, and administrators is necessary; such feedback also encourages improvement and growth of the faculty member. This manual contains a general description of the procedures of several faculty evaluation processes for the University of Tennessee, Knoxville, approved by the Board of Trustees. Additionally, appendices to this document offer suggestions for effective means of evaluating teaching, research/creative achievement, and campus and community service.

This manual is not intended to be inclusive. No statements within the document can supersede any policy or procedural statements found in the *UTK Faculty Handbook* or any other policies or procedures approved by the University of Tennessee Board of Trustees, the governing body of the University of Tennessee.

¹ Appropriate interaction with colleagues and students at the University of Tennessee, Knoxville is governed by the University's policies such as those regarding course management, personal relationships between faculty and students, and harassment found in *Hilltopics*, the *Faculty Handbook*, and materials published by the Office of Diversity Resources and Educational Services.

PART I - ANNUAL REVIEW OF PROBATIONARY FACULTY

A. GENERAL INFORMATION

Probationary Period

New faculty members are generally hired with a full probationary period of seven years. This means that a probationary faculty member must be considered for tenure no later than the sixth year of employment at UTK. New faculty members with prior service are encouraged to take the full probationary period to allow for the establishment of an excellent professional record.

With the concurrence of the department head,¹ a probationary faculty member with an outstanding record can request to be reviewed early for tenure/promotion.

Frequency of Reviews

Review of tenure-eligible faculty members occurs annually, with final review normally occurring during the sixth year. For individuals hired to begin in the Fall semester, the tenure clock starts on the previous August 1st; for those who arrive in the Spring semester, the specific starting date is determined at the time of offer. The clock may start the previous or the next August 1st.

B. PROCEDURES FOR RETENTION AND NON-RETENTION

Faculty are reviewed annually by their department heads. For the exact procedures governing annual reviews, a faculty member should consult his/her departmental bylaws. During the review, the faculty member is advised as to his/her progress in the areas of teaching, research, creative and/or scholarly achievements, and service. This annual evaluation is transmitted to the college dean for approval and on to the Provost and Senior Vice Chancellor for Academic Affairs.

The results of the evaluation must be made known to the faculty member by the appropriate academic officer, and should indicate the extent to which colleagues judge that his/her performance, in comparison with others in the profession, meets the expected academic standards.

¹ "Department" refers to the smallest academic unit (in some cases a college, school, division, University Libraries); "department head" refers to chair, director, or dean as appropriate

If an annual review results in a decision to retain the probationary faculty member, the evaluation should include guidance to the faculty member on ways to improve performance. A record of the general nature of the review and the date of transmission to the faculty member shall be retained by the department head, dean, or appropriate campus academic officer. A copy of this review shall be transmitted to the Provost and Senior Vice Chancellor for Academic Affairs.

If the first annual review of a probationary faculty member leads to a recommendation for non-retention, not later than March of the first academic year of service at UTK, notification will be given in writing by the Provost and Senior Vice Chancellor for Academic Affairs. If a probationary appointment is to expire during the academic year, the person must be so notified at least three months in advance. If a person is in a second year of service and will not be retained, the notification will be no later than December of that year (or, if the appointment expires during an academic year, the notification will be at least six months in advance). If the person has served two or more years, such notice will be given twelve months before the expiration of the appointment. (Previous service at other institutions is not considered.) The procedure for appeal of a decision to terminate a probationary period is described in the *Faculty Handbook*.

C. ANNUAL RECOMMENDATION ON RETENTION FORM

Name of faculty member: _____

Rank: _____ Department: _____

Year of appointment: _____ Tenure consideration scheduled for AY: _____

Name of assigned faculty mentor: _____

1. I recommend: [] retention [] termination as of _____

2. A formal department meeting: [] has not been held [] has been held
on _____

Faculty vote: For retention _____ Against retention _____ Abstention _____

3. Describe the strengths, weaknesses, and areas of concern which have been noted.
Please attach additional sheets if necessary. Refer to previous retention
recommendations.

Signature of faculty member: _____ Date: _____

Signature of department head: _____ Date: _____

4. The college [] approves [] disapproves.
Attach a statement where appropriate.

Signature of dean: _____ Date: _____

The department head must give a copy of this review to the faculty member reviewed.

PART II - TENURE AND PROMOTION REVIEW

(Taken in part from the Faculty Handbook)

A. GENERAL INFORMATION

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 at the University of Tennessee, Knoxville is acquired only by positive action of the Board of Trustees, and is awarded in a particular department and any successor department in case of merger or alteration of departments. The award of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to the University.

Review Procedures

There are several sequential levels in the promotion and tenure review process. For most academic units the review includes peer review by the department, review by the department head, review by the college, and review by the University. There are a few academic units that are organized without departments, thus, in these units the review process includes peer review by the unit (e.g., University Libraries), review by the unit leader, and review by the University. All levels of review shall be concerned in some measure with both scholarly substance and quality, and procedural adequacy and equity. It is incumbent that careful professional judgment of the accomplishments, productivity, and potential of each candidate be exercised at each level of review. Initial peer review (e.g., at the department level) will focus on professional and scholarly judgments of the individual's academic work within his/her discipline. Reviews at the college level for multi-department colleges will bring broader faculty and administrative judgments to bear and will also monitor general standards of quality, equity, and adequacy of procedures used. Review at the University level will involve similar but less detailed evaluations and, in addition, will provide an essential all-University perspective. Consultation among review levels, by committees and academic administrators, should take place when there is a need to clarify differences that arise during the review process. Each department of the University should take responsibility for developing detailed review procedures, supplemental to and consonant with general University procedures, as guidelines for promotion and tenure. These procedures should be made known to prospective and current faculty members, as well as the general University community, and should reflect the organizational arrangements of each department. The evaluation of teaching effectiveness shall be based on both peer and student input.

Composition of Review Committee

When conducting the initial departmental review, only tenured faculty should make recommendations about candidates for tenure, and only faculty of higher rank than the candidate should make recommendations about promotion. These faculty constitute the departmental review committees for the respective evaluations. In unusual circumstances, e.g., insufficient numbers of tenured and higher-ranked faculty, exceptions to this provision may be permitted by the Provost and Senior Vice Chancellor for Academic Affairs on request by the department. Departments may wish to form subcommittees of their review committee that will review the candidate's file and present the case to the department review committee. In no instance should the subcommittee make a recommendation to the review committee on tenure and/or promotion of the candidate, but only present its objective data. The subcommittee will summarize the faculty discussion of the candidate's record and submit this summary and the faculty vote to the department head to become part of the candidate's file. Department heads may attend the faculty discussion; however, since the department head has an independent evaluation to make, the head should not participate in the discussion except to clarify issues and assure that proper procedure is followed.

If a department does not form a subcommittee to present the candidate's case to the faculty, as might be the case in a small department, a representative of the review committee must be selected to summarize the faculty discussion and present the summary and vote to the department head. Department review subcommittees shall consist of members of the faculty selected by procedures approved by the faculty of the department. The faculty of the department should determine the size of the review subcommittee, but in no case should a review subcommittee consist of fewer than three members. College review committees shall consist of members of the faculty selected by procedures approved by the dean of the college. A faculty member serving on the college committee should recuse himself or herself from the discussion of a colleague from his/her department and should not participate in the college committee vote on that faculty member.

Review Materials

The type of materials required for adequate review at the department and college level of a faculty member's activities in teaching, research/creative achievement, and service will vary with the academic discipline. However, those materials should consist of a dossier (described later in this manual), a current *curriculum vitae*, and any supporting materials such as sample publications, videos, recordings, or other appropriate forms of documentation. At least one set of review materials must be available for review in the department and the college. Materials forwarded to the Office of the Provost and Senior Vice Chancellor for Academic Affairs must consist of six copies of the dossier and one copy of the *curriculum vitae*. Other documentation will be requested as needed by the Office of the Provost.

Tenure and Promotion Criteria Statements

Role of the Department in Elaborating General Criteria

All candidates for promotion and tenure shall be evaluated according to three general criteria, which should be further defined and elaborated by each department. The three general criteria are:

- Teaching ability and effectiveness;¹
- Research, creative achievement, and scholarship;
- Service to the University, the public, and the profession.

Academic administrators, with appropriate faculty participation, must develop a written statement of criteria and expectations that elaborates on the three general criteria and is consistent with the mission of the department and the professional responsibilities normally carried by faculty members in the department. Such written statements must be prepared for:

- Each academic department (the department may elect to use the college statement);
- Each college.

A statement defining the responsibilities of the faculty member shall appear in the front of a candidate's dossier. It is recommended that the department head, or appropriate administrator, write, in the third person, in consultation with the faculty member, a brief statement of responsibilities. The statement should be descriptive, not evaluative, and should clarify the areas of responsibility assigned to the faculty member in regard to the criteria used in promotion and tenure reviews. The first statement of faculty responsibilities should be developed within the first six months of employment and updated annually.

Guidelines for the Criterion of Teaching Ability and Effectiveness

1. A faculty member should provide a statement of teaching.
2. Evaluation of teaching effectiveness shall be based on self-assessment, peer evaluation, and University-approved student ratings. Student ratings should not receive greater weight than self or peer assessments during faculty evaluation processes.

¹ In the case of the University Libraries, the first criterion is performance of duties outlined in the job description.

Role of the Provost and Senior Vice Chancellor for Academic Affairs

1. The Provost and Senior Vice Chancellor for Academic Affairs shall approve all statements of criteria and expectations.
2. The Provost and Senior Vice Chancellor for Academic Affairs shall maintain a master set of approved statements of criteria and expectations.

Dissemination of Criteria Statements

1. Deans shall ensure that faculty members are informed about the criteria and expectations that have been developed for their respective departments.
2. Deans shall ensure that a copy of the current statement of criteria and expectations for their respective departments is on file in the office of the Provost and Senior Vice Chancellor for Academic Affairs.

B. THE DOSSIER

While the *curriculum vitae* is used to provide background to the department head's request for an external assessment, the dossier, organized around the primary criteria by which candidates are assessed, is used for the internal review. Upon completion, the dossier will contain both factual information of the sort that appears in the *curriculum vitae*; assessments by external professionals based on the *curriculum vitae* and other materials; evaluative reports from external and/or internal individuals on the activities of the candidate in teaching, research/creative achievement, or service; and assessments of the record by the internal individuals and groups who are involved in the review process.

Dossier Assembly

The candidate:

- Provides factual information found in the dossier sections: Research, Creative Achievements, and Scholarship; and Service to the University, the Public, and the Profession;
- Provides any additional information that might be useful in the section on Teaching Ability and Effectiveness;
- Completes and signs the Candidate Signature Statement.

Organization of Information in the Dossier

1. A standard format for presenting and organizing the information in the dossier shall be used by all departments.
2. Dossiers should *not* contain the following items unless unusual circumstances prevail and the materials are necessary for making recommendations (this judgment shall be made by the college dean):
 - a) Evaluative statements written by the candidate;
 - b) Statements about a candidate's personal life unless they are germane to the quality of the candidate's work;
 - c) Samples of the candidate's publications (these may be submitted as attachments for use by departmental and collegiate committees, but are not forwarded to the Office of Academic Affairs);
 - d) Letters of appreciation or thanks except when they include an explanation of the contribution made to teaching, research/creative activity, or service;
 - e) Course outlines.
3. All peer review committees and administrators shall have the same factual record available for the review.

Dissemination of Information about Dossier Preparation

1. College deans shall ensure that faculty members in their respective departments are informed about the manner in which dossiers are prepared and the appropriate content of dossiers.
2. The Provost and Senior Vice Chancellor for Academic Affairs shall be responsible for ensuring that workshops to inform faculty members, review committees, and academic administrators about dossier preparation and review procedures are conducted periodically.

Role of the Faculty Member in Preparation of the Dossier

1. Each faculty member shall assist in supplying relevant information for his/her dossier.

2. Each faculty member shall review for accuracy and completeness the factual records and informational material contained in the dossier prior to the beginning of the review process. The faculty member signs a statement certifying that he/she has reviewed these parts of the dossier. External letters of assessment will be made available upon written request from the candidate.
3. Faculty members may suggest names of external evaluators, but in no case should the candidate directly solicit the external assessment letters.

Changes in the Informational Sections of the Dossier

After the review process has started,

1. All peer review committees and administrators who have completed their review of a candidate shall be informed about any factual changes that are made to the original materials in the dossier subsequent to their review.
2. All peer review committees and administrators who are informed about factual changes, as described above, shall have the opportunity to reconsider their recommendation.

External Letters of Assessment

1. External letters of assessment must be obtained for candidates being reviewed for all tenure and promotion actions.
2. Dossiers shall include at least three letters from external evaluators assessing the quality and importance of the scholarship.
3. The department head or dean is responsible for obtaining external letters of assessment.
4. The process of obtaining external letters of assessment must begin far enough in advance of the review process that letters are in the dossier and available to peer review committees and administrators at all levels of review. If letters arrive after the review process has begun, individuals involved in those levels of review already completed shall be notified by the department head or dean of the receipt of the letters, and provided with an opportunity to see the letters and reconsider their recommendation.
5. A log shall be inserted in the dossier to document the following:
 - Date of request to external evaluator;

- Date of receipt of letter from external evaluator;
 - Date of entry of letter in dossier.
6. The department head shall be responsible for providing a statement explaining the method by which the external evaluators were selected.
 7. The department head shall be responsible for providing a brief biographical statement about the qualifications of the external evaluator; special attention should be given to documenting the evaluator's standing in his/her discipline as part of the biographical statement.
 8. A sample copy of the letter requesting the external evaluation shall be inserted in the dossier; the request should be for a critical evaluation of the candidate's achievements and reputation within his/her discipline, with reference to the mission and assignment of the candidate. Requests should be for letters of assessment, not for letters of recommendation.
 9. Department heads are urged *not* to request external assessments from the candidate's former teachers or students or from evaluators who are not informed about the candidate's work. External evaluators should be asked to describe the nature of their association with the candidate.
 10. Department heads are urged to request external assessments from individuals who hold higher rank than the candidate; in general, it is inappropriate to request assessments from non-tenured assistant professors for candidates for tenure or promotion to associate professor, or from assistant or associate professor for candidates for promotion to professor.

Statements from the Department Head and the Faculty

The department head should prepare a letter that addresses the candidate's employment history and responsibilities as they relate to the department and college criteria. The head's letter will also provide an independent recommendation based on the head's interpretation and evaluation of materials in the dossier collected by the faculty member and the department head over a span of years.

Departmental faculty views must be summarized in a letter from the Department Tenure and Promotion Committee. This letter, as well as the head's recommendation, must be made available to the faculty who participate in the recommendations so that they may (if they wish) prepare a dissenting statement either individually or collectively.

Dissenting Reports

Faculty may individually or collectively submit dissenting reports to the faculty recommendation or to the head's recommendation. Dissenting statements must become part of the dossier and must be available to the College Tenure and Promotion Committee, the dean, and the Provost and Senior Vice Chancellor for Academic Affairs.

Previous Evaluative Reports

For candidates for tenure and promotion, the evaluative statements from the previous annual retention reviews shall be included in the dossier. The actual statements (not an abstract) shall be presented in chronological order beginning with the earliest through the most recent annual retention reviews.

For candidates for promotion only, evaluative statements pertinent to the current promotion action are to be included. Evaluative statements from prior promotion reviews and from prior tenure reviews are not to be included. If the promotion review is not a cumulative review of tenured faculty, the report from the last cumulative review and all subsequent annual reviews must be included.

C. CONTENTS OF THE DOSSIER

This section of Part II contains explanations and examples of the material that comprise the dossier. The dossier must be prepared with the information in the sequence listed in this section. Each section must be annotated (i.e. A-1, A-2; B-1, B-2, etc.)

- A. Summary Sheet: Recommendations for Promotion and/or Tenure
Educational History and Employment History
Statement of Responsibilities
Department and College Criteria Statements
- B. Teaching Ability and Effectiveness
Teaching Evaluation Summary
- C. Research, Creative Achievements, and Scholarship
- D. Service to the University, the Public, and the Profession
Candidate Signature Statement
- E. External Letters of Assessment
Letter to External Evaluators for Tenure and Promotion Decisions
Log of External Letters of Assessment
Method of Selection of External Evaluators
Qualifications of External Evaluators
- F. Retention Recommendations from Previous Years
Department Head's Statement
Dissenting Reports
Statements of Evaluation by Review Committees

Summary Sheet: Recommendations for Promotion and/or Tenure

Name of faculty member: _____

Present rank: _____ Candidate for: Tenure Promotion to _____

Department: _____ Highest degree earned: _____

Original UTK rank: _____ Subsequent promotions (year, rank): _____

UTK RECORD

Date of original UTK appointment as a full-time probationary faculty member: _____

Years of full-time teaching experience at instructor rank or above before UTK probationary period: _____

Years of full-time teaching at UTK, as of the May 31st prior to the review: _____

Total years of teaching: _____ Latest year for tenure review as stipulated in appointment letter: _____

Note: If the recommendation for tenure or promotion comes earlier than the maximum time specified in the Faculty Handbook for appointment (or for promotion after fewer than the normal number of years in rank), special justification is asked for in the department head's summary recommendation.

RECOMMENDATIONS

DEPARTMENTAL FACULTY

Date of departmental discussion: _____

Result of discussion: For: _____ Against: _____ Abstain: _____

Recuse (attach explanation for conflict of interest): _____

Is there a dissenting report? Yes (please attach) No

INTERDISCIPLINARY COMMITTEE OR DIRECTOR (where appropriate)

For: _____ Against: _____ (Provide letter)

DEPARTMENT HEAD Recommend approval Do not recommend approval

Provide a statement on the professional record and a summary recommendation

COLLEGE COMMITTEE

For: _____ Against: _____

Recuse (attach explanation for conflict of interest): _____

A copy of the report of the college committee must also be attached. In cases where this report disagrees in any substantial way with the departmental recommendation, this report must go beyond a listing of the vote to indicate as fully as possible the reasons for the differences.

DEAN Approve Disapprove (Provide letter)

Educational History and Employment History

EXAMPLE

Candidate Name: Jane/John Doe

Educational History (List most recent degree first)

<u>Institution</u>	<u>Program or Degree</u>	<u>Dates in Program</u>	<u>Degree</u>
University of California, Los Angeles	Ph.D. Physics	1980 - 1985	Ph.D.
University of Michigan	B.S. Physics	1976 - 1980	B.S.

Employment History (List current appointment first)

<u>Ranks Held</u>	<u>Institution</u>	<u>Department</u>	<u>Effective Date of Rank</u>
Associate Professor	University of Tennessee	Physics	1994- present
Assistant Professor	University of Tennessee	Physics	1987 - 1994
Post Doc	University of Arizona	Astronomy	1985 - 1987

Statement of Responsibilities

A statement of the candidate's responsibilities in the academic department must be included. The following statement approved by The Board of Trustees should be used in assigning duties and responsibilities to members of the UTK faculty.

The assigned workload for full-time faculty shall consist of a combination of teaching, advising, research and/or creative activities, and institutional and/or public service. The individual mix of these responsibilities shall be determined by the department head, in consultation with each faculty member, with review and approval of the dean and Provost and Senior Vice Chancellor for Academic Affairs. The University requires that each member of the faculty perform a reasonable and equitable amount of work each year.

The normal maximum teaching load for a full-time faculty member engaged only in classroom teaching shall be 12 credit hours each semester. The precise teaching load for each individual shall be based on such things as class size and the number of examinations, term papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught and other appropriate considerations, as identified in the next paragraph, shall be used to determine teaching load.

The classroom teaching load 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, administrative duties, and institutional and/or public service. The teaching of non-credit courses or workshops and participation in externally funded university projects may be substituted by the University for an equivalent number of credit courses.

Department and College Criteria Statements

Each department and college must include a description of the criteria used to appoint and evaluate faculty in these respective units. Criteria for appointments to the several faculty ranks are complex. They reflect the rigorous preparation necessary for university teaching and research/creative achievement, the varied expectations directed to the faculty of a major university, and the diversity of missions performed by academic units. Each faculty position has its own distinctive requirements, but the University has established some minimal criteria (see *Faculty Handbook*). Imbalances in some respects may be offset by unusual excellence in others.

Teaching Ability and Effectiveness

This section contains:

- Brief statement by the candidate of his/her teaching philosophy and its implementation;
- List of courses taught in resident instruction, continuing education, and international programs for each term or semester from _____ to _____, with enrollments in each course; identify honors courses; or record of clinical assignments; and a list of advising responsibilities for the period;
- Concise compilation of results of student evaluation or documented evaluation of candidate's programs, activities, and skills;
- If a summary of student comments is included, the summary should include "the best liked" and "the least liked" qualities;

- Report from peer review of teaching and any other faculty input concerning the evaluation of teaching effectiveness, including any statements from colleagues who have visited the candidate's classroom for the purpose of evaluating his/her teaching, or who are in good position to evaluate fairly and effectively clinical or field assignments or advising. Internal letters about teaching effectiveness should be included in this section;
- Any statements from administrators which attest to the candidate's teaching and advising effectiveness;
- Other evidences of teaching and advising effectiveness (e.g., performance of students in subsequent courses, tangible results and benefits);
- Any honors and awards received for teaching;
- Supervision of student work;
 - List graduate dissertations, theses, monographs, performances, productions, and exhibitions required for graduate degrees; record types of degrees and years granted; list undergraduate honor theses supervised.
- Membership on graduate degree candidates' committees.

TEACHING EVALUATION SUMMARY¹

SEM/YEAR	COURSE	# STUDENTS	RANKING					# ADVISEES
			COURSE OVERALL	COURSE CONTENT	INSTRUCTOR CONTRIBUTION	TEACHING EFFECTIVENESS		
FALL/91	SSE 419(4)	12	4.4	4.1	4.6	3.7	15UG	
	ED 401(3)	57	4.4	4.1	4.6	4.9	5 G	
	ED 401 (3)	53	3.2	4.4	4.1	3.9		
	SSE 593 (3)	2						
SPRING/92	ED 401 (3)	59	4.4	4.1	3.4	3.7	15 UG	
	ED 401 (3)	42	3.2	4.1	4.6	4.9	4 G	
	SSE 422 (3)	6	4.4	4.4	4.1	3.9		
	SSE 523 (3)	3						
	SSE 593 (3)	1						
FALL/92	ED 401 (3)	46	4.4	4.1	4.2	3.7	15 UG	
	SSE 419 (4)	7	3.2	4.4	4.5	4.9	4 G	
SPRING/93	ED 401(3)	50	4.5	4.6	3.2	3.7	25 UG	
	ED 401 (3)	50	4.2	4.4	4.4	4.9	5 G	
	SSE 416 (3)	9	4.3	3.1	3.1	3.9		
	SSE 523 (3)	2						
FALL/93	FYS 101(2)	18	3.2	4.5	4.6	3.7	25 UG	
	SSE 419 (4)	10	4.4	4.2	4.4	4.9	5 G	
	ED 401 (3)	26	4.2	4.3	3.1	3.9		
	ED 574 (2)	1						
	ED 575 (4)	1						
	SSE 500 (3)	1						

¹ Range 5-0: 5=Excellent, 0=Very Poor

Research, Creative Achievements, and Scholarship

This section contains: (Do not include material contained in other sections of the dossier.)

- Candidate's statement of his/her research/creative achievement approach and/or agenda;
- Research and/or scholarly publications;

Publications should be listed in standard bibliographic form, preferably with the earliest date first; citations should include beginning and ending page numbers or total number of pages, where appropriate; for multiple-authored works, the contribution of the candidate should be clearly indicated (e.g., principal author, supervised person who authored the work, etc.). Manuscripts accepted for publication should be placed in the appropriate category as "in press"; letters of acceptance from editors for such contributions should be included at the end of this section. Publications should be listed as follows:

Articles published in refereed journals

Books

Scholarly and/or creative activity published through a refereed electronic venue

Contributions to edited volumes

Papers published in refereed conference proceedings

Papers or extended abstracts published in conference proceedings (refereed on the basis of abstract)

Articles published in popular press

Articles appearing in in-house organs

Research reports submitted to sponsors

Articles published in nonrefereed journals

Manuscripts submitted for publication (include where and when submitted)

- Creative accomplishments;

Document exhibitions, installations, productions, or publications of original works of architecture, dance, design, electronic media, film, journalism, landscape architecture, literature, music, theatre, and visual art. Performance of original dance, literary, musical visual arts, or theatrical works, or works from traditional and contemporary repertoires of the performing arts should be chronicled with critiques.

- Projects, grants, commissions, and contracts (date, title, agency, amount);

These should be referenced as,

1. Completed.
2. Funded and In Progress.
3. In Review.

- Other evidence of research or creative accomplishments (identify patents, new product development, new art forms, new computer software programs developed, etc.);
- Record of participation in, and description of, seminars and workshops (short description of activity, with titles, dates, sponsor, etc.); indication of role in seminar or workshop, e.g., student, invited participant, etc.;
- Papers presented at technical and professional meetings (meeting and paper titles, listed chronologically in standard bibliographic form); indication of whether the candidate was the presenter, whether the paper was refereed, and whether the paper was invited;
- List of honors or awards for scholarship;
- List of grants and contracts for instruction or for training programs, with an indication of the candidate's role in preparing and administering the grants and contracts.

Service to the University, the Public, and the Profession

From (Mo./Yr.)_____ Through (Mo./Yr.)_____

This section contains:

- Candidate's summary of his/her service record;
- Service to the University;
 1. Record of committee work at department, college, and university levels;
 2. Participation in university-wide governance bodies and related activities;
 3. Record of contributions to the University's programs, at home and abroad, to enhance equal opportunity and cultural diversity.
- Service to the public;
 1. Participation in community affairs as a representative of the University;
 2. Service to governmental agencies at the international, federal, state and local levels;
 3. Service to industry, e.g., training, workshops, consulting;
 4. Service to public and private organizations or institutions in which the candidate uses his/her professional expertise.
- Service to the profession.
 1. Record of membership and active participation in professional and learned societies (e.g., offices held, committee work, journal refereeing, other responsibilities);
 2. List of honors or awards for professional service activity.

Candidate Signature Statement

I hereby attest that I have examined for accuracy the factual and informational parts of my dossier (excluding the external letters of assessment).

Candidate Signature

Date

External Letters of Assessment

This section contains:

- A description of how the letters of assessment were solicited, including a sample letter of request;

Note: When letters are solicited, the request should be for letters of assessment rather than "recommendation" or "endorsement", and evaluators should be encouraged to concentrate on those aspects of the candidate's record which are most important to the external visibility and professional standing of the candidate.

- A log showing the date on which each external letter was requested by the department/dean and the date the letter was received. All requests should be entered regardless of whether a response was obtained;
- A description of the procedure used for selecting external evaluators;
- An identification of those who have written the assessments, including a brief statement of the referee's standing in his/her discipline.

Letter to External Evaluators for Tenure and Promotion Decisions¹

SAMPLE

Dear _____:

Dr. _____, (rank), is being considered for tenure and promotion to associate professor this year at The University of Tennessee, Knoxville. I would very much appreciate your assessment of Dr. _____'s professional performance.

University policy mandates that I seek evaluations of a candidate from professionals who are qualified to judge the candidate's research/creative achievement, scholarly qualities, career development, and contributions to the discipline. Of particular value would be a frank appraisal of: (1) his/her 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; (4) his/her potential for further growth and achievement; (5) and whether he/she would be ranked among the most capable and promising scholars in his/her area. It would also be particularly helpful to us in our deliberations if you could rate Dr. _____'s contributions in comparison with others you have known at the same stage of professional development. A copy of his/her *curriculum vitae* and a sample of pertinent publications are included. Please also describe the nature of your association with Dr. _____.

We are aware of the imposition that this inquiry provides; however, we assure you that guidance from scholars like you is vital to our decision-making process. An early report would be most appreciated as we do hope to have all letters in the file by November 1, _____. You should be aware that the State of Tennessee has a Freedom of Information Law, and therefore, we are unable to guarantee that the candidate will not request to see your letter. However, your letter is not provided to the candidate unless the candidate specifically requests it in writing. Thank you for your assistance in this matter which is of such great importance to us.

Sincerely,

¹ This letter can be adapted for promotion decisions as appropriate.

Log of External Letters of Assessment

EXAMPLE

<u>Name</u>	<u>Date of Request</u>	<u>Date of Receipt</u>	<u>Date of Entry into Dossier</u>
Professor Rosemarie Tong Davidson College	phone 7/23/99 letter 8/1/99	9/15/99	9/20/99
Professor Howard Brody Michigan State University	phone 7/23/99 letter 8/5/99	9/20/99	9/22/99
Professor Mary Mahowald University of Chicago	email 8/2/99 letter 8/5/99	9/30/99	10/1/99
Professor James F. Childress University of Virginia	phone 9/15/99 letter 9/20/99	9/27/99	10/2/99
Professor Thomas Akerman University of Kentucky	email 8/5/99 letter 8/10/99 email 9/1/99	not received	

Method of Selection of External Evaluators

SAMPLE

The department solicited evaluations of Professor Hindle's scholarship from five scholars in the field of biomedical ethics. All of these scholars are highly respected in Professor Hindle's area of specialization and have published numerous books and journal articles in the area. They were asked to evaluate several of Professor Hindle's journal articles and his recent monograph. Four of the five scholars responded. They are Professor Rosemarie Tong (Davidson College), Professor Howard Brody (Michigan State University), Professor Mary Mahowald (University of Chicago) and Professor James F. Childress (University of Virginia).

Two of the scholars who responded (Tong and Brody) were selected from a list compiled by the department head in consultation with departmental faculty. The other two responses were from scholars selected from a list of possible reviewers provided by the candidate.

Qualifications of External Evaluators

EXAMPLE

Rosemarie Tong, Ph.D., is Professor in Medical Humanities and Philosophy at Davidson College, and has been Visiting Professor in 1993 at Lafayette College. She is the author of ten books in feminist bioethics, and has published over sixty articles in refereed journals. She has reviewed numerous books for a variety of journals, and is the editor of Rowan & Littlefield's New Feminist Perspectives series, which includes thirteen renowned volumes in contemporary feminist ethics, epistemology and bioethics. She is the series editor of Point/Counterpoint volumes of Political Correctness, Assisted Suicide, and Gun Control. She is on the editorial boards of seven major journals, and has consulted for hospitals, State Departments of Human Resources, and the National Research Council.

Howard Brody, M.D., Ph.D., is Professor of Family Practice and Philosophy, and Director of the Center for Ethics and Humanities in the Life Sciences at Michigan State University. He is a board-certified family practice M.D. as well as a Professor of Philosophy. He is the author of four books, twenty-four book chapters, and has published over forty-five articles in national and international refereed journals. He is one of the patriarchs of medical ethics in the U.S.

Mary Mahowald, Ph.D., is Professor in the Department of Obstetrics and Gynecology at the University of Chicago and is also Assistant Director of the MacLean Center for Clinical Medical Ethics at the University of Chicago. She is the author of two books and the editor of three more. She is also the author of two textbooks and over seventy-five articles in excellent refereed journals. She is one of the most highly respected ethicists of her generation.

James F. Childress, Ph.D., is Professor in the Department of Religious Studies at the University of Virginia. He is the author of numerous books and articles in biomedical ethics. Dr. Childress is one of the lions of the field, and one of the most visible and public of all philosophically-trained medical ethicists in the country.

Retention Recommendations from Previous Years

An annual retention review of probationary faculty is conducted by the department head in consultation with the tenured faculty. The head will convey the outcome of this review to the candidate in writing at the same time that the result of the review and a retention recommendation are sent to the College, following the retention schedule in Appendix E. The dossiers of probationary faculty who are being considered for tenure/promotion must include the actual retention recommendations (not abstracts) for all years the candidate served as a probationary faculty member.

Department Head's Statement

The department head shall prepare a statement in which he/she interprets and evaluates the material in the dossier. The head submits to the dean an independent recommendation for or against promotion/tenure or promotion. Although the faculty report and recommendation is advisory to the head, the head is not obligated to submit a recommendation to the dean in agreement with that of the faculty. If the department head's recommendation is not the same as that of the faculty, he/she will explain to the faculty the reasons for his/her decision. The department head will remind the faculty members of their right to forward individual and/or collective dissenting reports if they do not agree with the head's findings.

Dissenting Reports

Faculty members, individually or collectively, have the right to submit dissenting reports to the department head if they disagree with the recommendation of the departmental faculty, or to the dean if they disagree with the department head's recommendation. The faculty will be advised of the right to submit dissenting reports by the department head. Dissenting reports should be based on an evaluation of the record and should be submitted to the head before the dossier is forwarded to the dean, or to the dean before the deadline for dossiers to be submitted to the dean's office for review by the College Tenure and Promotion Committee.

Statements of Evaluation by Review Committees

Evaluative statements assessing the candidate's strengths and weaknesses shall be provided at the department, college, and university levels. Each of these evaluative statements shall be inserted in the candidate's dossier at each step in the review process in the following order:

- Department Review Committee;
- College Review Committee;
- College Dean;
- Provost and Senior Vice Chancellor for Academic Affairs;
- Chancellor.

When a candidate has not received a unanimous committee vote, the evaluation must include a discussion of the reasons for the divergent opinions. All committee reports must list the entire membership and be signed and dated by at least the chair.

The numerical vote of each committee must be reported.

PART III - ANNUAL REVIEW OF TENURED FACULTY

(Taken in part from the Faculty Handbook)

A. GENERAL INFORMATION

Policies adopted by the University of Tennessee Board of Trustees, the governing body of the University, require that each faculty member and his or her department head will engage in a formal annual performance-and-planning review, examining the previous year's activities in teaching, research/creative activity, and service, and planning what should occur during the coming year. The results of these evaluations will be used to reward faculty performance. Each faculty member's annual performance-and-planning review must proceed from guidelines and criteria contained in the *UTK Manual for Faculty Evaluation* and appropriate departmental and collegiate bylaws.

B. REVIEW MATERIALS

It is suggested that each faculty member under review provide to the department head review materials which contain at least the following:

- A summary of the past year's plans and goals developed in conjunction with the department head at the previous year's annual review;
- A summary of the faculty member's activities and accomplishments during the past year in teaching, research/creative achievement, and service;
- A listing of specific plans and goals for the upcoming year;
- Any documentation requested by the department head or required by college and/or department bylaws that supports the faculty member's activities during the past year. This documentation may include information supporting accomplishments in teaching, research/creative achievement/scholarship, and service;
- A current *curriculum vitae* (see Appendix D for an example).

C. REVIEW PROCESS

The faculty member and department head meet to discuss the faculty member's previous year's performance relative to the plans and goals previously established for the year, and to plan the faculty member's activities for the upcoming year. A document summarizing the review will include an overall rating of the faculty member's performance as *exceeds expectations for rank*, *meets expectations for rank*, *needs improvement for rank*, or *unsatisfactory performance for rank*. This document must be signed by the faculty member (to acknowledge receipt of the review document) and the department head. Copies must be provided to the faculty member and

sent to the dean. Signing the form does not necessarily indicate the faculty member's agreement with the content of the document. The faculty member may submit a rebuttal to the evaluation. Copies of the rebuttals are also sent to the dean. A faculty member whose performance is deemed to need improvement must consult with the department head who has the responsibility of developing a written statement of area(s) needing attention. A faculty member whose performance is deemed to be unsatisfactory shall be ineligible for rewards and must provide to the department head a written interim progress report of developmental steps taken to improve performance in area(s) noted as unsatisfactory. The dean must review and concur with any unsatisfactory rating. Thereafter, the dean must notify the campus chief academic officer of all faculty members whose performance is deemed unsatisfactory.

Responsibilities of the Faculty Member

The responsibilities of the faculty member include:

- Preparing the materials, which should include activities and accomplishments in teaching, research/creative achievement and service, to be used in the performance-and-planning review;
- Discussing with the department head, for the purposes of planning, specific strengths and opportunities for improvement in teaching, research/creative achievement, and service;
- Signing the document which summarizes his/her review to acknowledge receipt of the review document (signing the document does not necessarily indicate the faculty member's agreement with the content of the document);
- Preparing, if appropriate, a written rebuttal to the review and providing a copy to the department head;
- Consulting with the department head to develop a written statement of area(s) needing attention if a faculty member's performance is deemed to need improvement;
- Providing, to the department head, a written interim progress report of developmental steps taken to improve performance in area(s) noted as unsatisfactory, if a faculty member's performance is deemed to be unsatisfactory.

Responsibilities of the Department Head

The duties of the department head include:

- Scheduling the annual performance-and-planning review and notifying the faculty member at least six months in advance of the scheduled date of his/her annual performance review which cannot be scheduled sooner than twelve months after the previous annual review except by mutual consent;
- Informing the faculty member of what materials must be included and the format to be used for submission of materials for the review;
- Preparing a document summarizing the review that includes the department's criteria for the various ratings at the different ranks and an overall rating of the faculty member's performance;
- Preparing a document stating the plans and expectations of the faculty member for the coming year. A written record shall be maintained of the faculty member's awareness of any subsequent changes to the statement of plans and expectations;
- Forwarding signed copies of the summary document (the cover sheet and all attachments) to the faculty member and the dean. Each page of this document must be signed by the faculty member and the department head; in cases where the attachment exceeds one page, the pages should be numbered, indicating total pages;
- Preparing a written statement of area(s) needing attention after consulting with any faculty member whose performance is deemed to need improvement; the statement should identify resources that will be made available to promote improvement;
- Informing the faculty member of his/her right to submit a rebuttal;
- Forwarding copies of any rebuttals to the dean;
- Requesting a written interim progress report from any faculty member whose performance is deemed to be unsatisfactory, which outlines developmental steps taken to improve performance in area(s) noted as unsatisfactory; the deadline for the report will be determined by the faculty member and the department head;
- Providing the dean and the Provost a list of all department faculty with their current rank and ratings from the annual performance-and-planning reviews.

**D. FACULTY ANNUAL PERFORMANCE AND
PLANNING REPORT**
(Cover Sheet)

Name of faculty member: _____

Rank: _____ Department: _____

Year of appointment: _____ Number of years at current rank: _____

Attach a narrative addressing the strengths, weaknesses, and areas of concern based on the faculty member's responsibilities consistent with the bylaws of the department, college, and university and summarizing the plans and goals established during the annual review conference.

Overall rating of the faculty member's performance:

- Exceeds expectations for rank
- Meets expectations for rank
- Needs improvement for rank
- Unsatisfactory performance for rank

Signature of department head: _____ Date: _____

*Signature of faculty member : _____ Date: _____

Signature of dean: _____ Date: _____

*The faculty member's signature acknowledges receipt of the review document and does not necessarily indicate the faculty member's agreement with its content.

The department head must give a copy of this completed cover sheet and all attachments to the faculty member reviewed.

PART IV - CUMULATIVE REVIEW OF TENURED FACULTY *(Taken in part from the Faculty Handbook)*

A. GENERAL INFORMATION

There shall be comprehensive, formal, cumulative performance reviews of all tenured faculty members to promote faculty development and to ensure professional vitality. Cumulative reviews shall occur regularly every five years. (A promotion review shall substitute for the cumulative review if the promotion review is anticipated to occur within two years of a scheduled cumulative review. In no case shall more than seven years elapse between cumulative reviews.) A peer review of teaching may be conducted in conjunction with a cumulative review.

Cumulative reviews are based on information from the faculty member's annual reviews, information concerning his or her performance during the immediately preceding year, and any other information specified in departmental bylaws as relevant to performance expectations for the faculty member in teaching, advising, research/scholarship/creative activity, and service. Cumulative reviews are normally conducted during the Spring semester. All reports and comments on them shall be maintained in personnel files in the department, with copies provided to the dean's office.

Faculty members whose performance is found through the cumulative review process to exceed or meet expectations for rank are eligible for pay increments according to levels established by the University of Tennessee, Knoxville. A faculty member whose performance is deemed to be unsatisfactory in a single cumulative review shall be reviewed further in accordance with the provisions concerning unsatisfactory performance.

B. REVIEW MATERIALS

The materials to be used in the cumulative review of a tenured faculty member should contain at least the following:

- All materials used for the annual performance-and-planning reviews for each year since the last cumulative review;
- Review materials for the faculty member's activities in teaching, research/creative achievement, and service during the year immediately preceding the cumulative review (i.e., annual review materials for the year in which the cumulative review is conducted);
- Documentation, not included in the annual review summaries, required by college and/or department bylaws that supports the faculty member's activities since the last cumulative review;

- Current *curriculum vitae* (see Appendix D for an example).

C. REVIEW PROCESS

1. After receiving from the faculty member and departmental faculty at the same or higher rank recommendations for membership on the peer review committee, the department head shall appoint a three-person committee. One member of the peer review committee should come from outside the department, and one member shall be selected from a list submitted by the faculty member.
2. The peer review committee shall examine the relevant information and shall make an evaluation of the faculty member's performance in the categories of teaching, advising, research/scholarship/creative activity, and service.
3. The committee shall then reach an overall assessment of the faculty member's performance over the past five years, using the four categories of *exceeds expectations for rank*, *meets expectations for rank*, *needs improvement for rank*, or *unsatisfactory performance for rank*, and comment on specific strengths and weaknesses in performance. The faculty member being reviewed shall be provided the opportunity to read and comment on the evaluation by the peer review committee when it is forwarded to the department head.
4. The report from the peer review committee is advisory to the department head, who then makes his/her own assessment and prepares a summary report according to a form developed by the campus to evaluate the faculty member's performance. The faculty member being reviewed shall be provided the opportunity to read and comment on the evaluation by the department head.

Responsibilities of the Faculty Member

The responsibilities of the faculty member include:

- Preparing the materials, which should include activities and accomplishments in teaching, research/creative achievement and service for the year immediately preceding the cumulative review;
- Reviewing for accuracy and completeness the factual records and informational material on which the cumulative review will be based;
- Reading and commenting on the evaluation by the peer review committee when it is forwarded to the department head and on the evaluation by the department head;

- Consulting with the department head to develop a written statement of area(s) needing attention, if the faculty member's performance is deemed to need improvement.

Responsibilities of the Department Head

The responsibilities of the department head include:

- Scheduling the cumulative review according to an established timetable that provides sufficient notice so that the faculty member has adequate time to prepare the required materials;
- Providing all annual review materials on which the cumulative review is based;
- Informing the faculty member of what materials must be included and the format to be used for submission of materials for the review;
- Appointing a peer review committee following consultation with the faculty member and departmental faculty at the same or higher rank;
- Providing the faculty member the opportunity to read and comment on the evaluation by the peer review committee when it is forwarded to the department head;
- Assessing the faculty member's performance after the peer review committee submits its report (the peer review committee report is advisory to the head);
- Preparing a written evaluation of the performance of the faculty member;
- Providing the faculty member the opportunity to read and comment on the evaluation by the department head;
- Providing copies of all reports and comments on the reports to the faculty member and to the dean, and maintaining copies in the faculty member's departmental files;
- Consulting with any faculty member whose performance is deemed to need improvement to develop a written statement of area(s) needing attention;
- Initiating the process described in the section Unsatisfactory Performance for any faculty member whose performance is deemed to be unsatisfactory in the cumulative review;
- ~~Preparing a list of all department faculty for whom cumulative reviews are completed during a given year. The list should include the faculty member's current rank, and ratings from the cumulative reviews.~~

Unsatisfactory Performance

The decision to assign an unsatisfactory cumulative review rating must be supported by the record of annual reviews since the last cumulative review. A rigorous and thorough review shall be made of any faculty member whose performance is deemed to be unsatisfactory in a single cumulative review or in two consecutive annual performance-and-planning reviews.

1. A Review Committee shall be convened by the department head within thirty days of the dean's concurrence with an unsatisfactory cumulative review or a second consecutive unsatisfactory annual review, and shall be composed of the department head, tenured departmental faculty members at the same or higher rank, and faculty and administrative staff from outside the department.
2. The Review Committee shall be composed of seven members and reach its decisions by majority vote.
3. If a faculty member's performance is evaluated by the Review Committee as unsatisfactory, the department head, dean, chief academic officer, and Faculty Senate President or Faculty Senate Executive Committee shall reach consensus on one of two actions:
 - a) Develop with the affected faculty member a written remediation plan (e.g., 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 of their assessing its efficacy. At the end of the remediation period, the Review Committee, dean, chief academic officer, and Faculty Senate President or the Faculty Senate Executive Committee shall send a written report to the campus Chancellor, recommending:
 - (i) that the faculty member's performance is no longer unsatisfactory; or
 - (ii) that the Chancellor initiate proceedings to terminate the faculty member for adequate cause.
 - b) Recommend that the Chancellor initiate proceedings to terminate the faculty member for adequate cause.

D. FACULTY CUMULATIVE REVIEW REPORT (Cover Sheet)

Name of faculty member: _____

Rank: _____ Department: _____

Year of appointment: _____ Number of years at current rank: _____

Attach a narrative addressing the strengths, weaknesses, and areas of concern based on the faculty member's responsibilities consistent with the bylaws of the department, college, and university.

Overall rating of the faculty member's performance:

- Exceeds expectations for rank
- Meets expectations for rank
- Needs improvement for rank
- Unsatisfactory performance for rank

Signature of department head: _____ Date: _____

*Signature of faculty member: _____ Date: _____

Signature of dean: _____ Date: _____

*The faculty member's signature acknowledges receipt of the review document and does not necessarily indicate the faculty member's agreement with its content.

The department head must give a copy of this completed cover sheet and all attachments to the faculty member reviewed.

E. PEER CUMULATIVE REVIEW REPORT (Cover Sheet)

Name of faculty member: _____

Rank: _____ Department: _____

Year of appointment: _____ Number of years at current rank: _____

Attach a narrative addressing the strengths, weaknesses, and areas of concern based on the faculty member's responsibilities consistent with the bylaws of the department, college, and university.

Overall rating of the faculty member's performance:

- Exceeds expectations for rank
- Meets expectations for rank
- Needs improvement for rank
- Unsatisfactory performance for rank

Signature of Peer Review Committee Member: _____ Date: _____

Signature of Peer Review Committee Member: _____ Date: _____

Signature of Peer Review Committee Member: _____ Date: _____

*Signature of faculty member: _____ Date: _____

* The faculty member's signature acknowledges receipt of the review document and does not necessarily indicate the faculty member's agreement with its content.

The department head must give a copy of this review summary to the faculty member reviewed.

APPENDIX A- IDEAS AND BEST PRACTICES FOR EVALUATING FACULTY TEACHING

(Taken from a report from the Teaching Council)

This section is intended to provide ideas, suggestions, and possible best practices for evaluating faculty members. These are promoted by the Teaching Council and should be considered as recommendations.

Goals and Approach for the Review of Teaching

The University of Tennessee, Knoxville is dedicated to excellence in teaching. Excellence means effectively providing learning experiences that prepare students for the challenges of a complex, ever-changing, and diverse workplace and society. To promote excellence, The University of Tennessee, Knoxville must have an effective process for review of teaching. The goals of a review process are to: (1) improve the quality and importance of teaching across the campus, (2) recognize excellence in teaching with positive incentives, (3) demonstrate faculty accountability within and outside the University, (4) promote the scholarship of teaching, (5) encourage the connection between teaching and research, (6) provide means for protecting intellectual freedom, and (7) foster an ethical university community.

The approach to annual and cumulative review of teaching should be multi-faceted, including inputs from the faculty member being reviewed, peers, and students. The various departments across the University are quite diverse in function and size. Therefore, details of the review process will vary considerably at the departmental level to accommodate diversity in teaching techniques and content. This process of teaching assessment and evaluation should minimize burdens for faculty, administrators, and students.

Assessment and Evaluation

Assessment is a critical step for constructively improving the quality and role of teaching on this campus. For the purposes of this document, assessment of faculty teaching is feedback about strengths and areas for improvement based on inputs from the faculty member being reviewed, peers, and students. Faculty members should gain an understanding of their strengths and areas for improvement through self-examination, constructive dialogue with peers, and feedback from students. An assessment should not include a performance rating.

Evaluation is an indicator of whether a faculty member's teaching exceeds, meets, or fails to meet a specified standard. The evaluation and the resulting performance measure are necessary for enhancing excellence in teaching through incentives and for achieving the objectives of the Board of Trustee's faculty review process. Evaluation will be the responsibility of the department head and will result in a specific performance measure, which synthesizes the results from the self, peer, and student reviews.

Teaching Review Process

Self Assessment

Self assessment allows faculty members to reflect on their teaching both for their benefit and to facilitate constructive dialogue about their teaching with others. Tenured faculty members would conduct a formal self assessment of their teaching about 1.5 years prior to the date of the 5-year cumulative evaluation of performance. A probationary faculty member would conduct the self assessment about six (6) months prior to a peer review, where peer reviews should occur every two years.

A minimum output from this process would be a document about the person's teaching philosophy and may include, but not be limited to, self-assessment results from previous reviews, teaching goals, methods for achieving these goals, and plans for achieving teaching excellence. The document may be supported by a teaching portfolio that illustrates implementations or successes of the philosophy, documents activities such as short courses that improved teaching skills, considers alternative teaching objectives and methods, or possibly other aspects of teaching for the faculty member being reviewed. The self assessment documentation would be given to the peer review team at the beginning of the review process to help frame the scope of their activities.

Peer Assessment

Peer assessment provides faculty members with useful feedback from their peers that identifies their strengths and areas for improvement in their teaching. A peer teaching review should be conducted for a tenured faculty member about one year prior to the date of the 5-year cumulative evaluation of performance. A probationary faculty member should receive a peer review every two years. Where special circumstances arise, a faculty member has the right to request reconvening of a peer review team or formation of a new peer review team in the interval between scheduled peer reviews.

The peer review team should consist of three tenured faculty members. One is selected by the faculty member, one by the department head, and the third is agreed upon by the two. Departments are encouraged to have at least one faculty member from outside the department included in peer review teams.

The peer review team should offer feedback that: (1) considers whether the courses of the faculty member have appropriate content and offer students sufficient opportunity to acquire appropriate skills; (2) considers whether the grading system and evaluation/assessment tools are consistent with course content and student skill development; (3) examines the teaching methods of the faculty member for effectiveness; and (4) recognizes the risks and successes inherent in innovative teaching methods. Feedback is facilitated by the peer review team meetings with the faculty member to discuss teaching before, after, and otherwise as needed or requested during the review process. Feedback will be based on: (1) examination of materials for the course (e.g., handouts, tests, web pages, etc.); and (2) observation in the classroom or instructional setting for at least one course being taught during the semester of the peer assessment. Each team member should visit at least one class meeting. More visits are encouraged for peers to gain a better

understanding of the teaching methods of the faculty member, but are not required. At the end of the semester, the peer review team will produce a report that is discussed with the faculty member being reviewed and that presents the strengths and areas for improvement for the teaching of the faculty member.

Student Review

Student review of teaching is mandated. To increase the feedback component of the student reviews, written student comments should be solicited in addition to any mandatory questionnaire. Results of the open-ended student comments would be returned to the faculty member after grades are sent to the central administration. While student reviews occur each semester, they should not receive greater weight than self or peer assessments during faculty evaluation processes.

Evaluation by Department Head

Cumulative

For the cumulative review of teaching, a department head considers the inputs from self assessment, peer assessment, and student review. The head has three criteria to evaluate and to assign a performance measure with a narrative that explains each measure. The criteria are:

- (1) Assuming that a department has agreed to the roles of its courses, do courses of the faculty member have appropriate content and are students given opportunity to acquire the appropriate skills?
- (2) Are the grading system and evaluation/assessment tools consistent with course content and student skill development?
- (3) Are the teaching methods of the faculty member effective?

The assessment results-particularly the peer assessment-must be given considerable weight in this evaluation because students do not have the best perspective for evaluating the first two criteria. The standards for the evaluation of these criteria are to be constructed by each department.

Annual

The only new inputs for the annual reviews will be the content of student reviews. However, the existing self and peer assessments must be considered. The three criteria and performance measures for the cumulative review remain the same for the annual review. After an annual review, the faculty member has the right to an additional previously unscheduled peer assessment with self assessment, if they believe it to be appropriate.

The results of the annual and cumulative teaching evaluations will be documented by the department head in terms of the standards established by the faculty of that department and using the campus-level system of performance categories.

APPENDIX B- IDEAS AND BEST PRACTICES FOR EVALUATING FACULTY RESEARCH/CREATIVE ACHIEVEMENT

(Based on a report from the Research Council)

This section is intended to provide ideas, suggestions, and possible best practices for evaluating faculty members. These are promoted by the Research Council and should be considered as recommendations.

Goals

One of the three basic missions of the University is research, which is the foundation and key to all learning which occurs at the University. Research is simply learning at the most advanced, creative, and systematic edges of knowledge where discovery and imagination constantly recast the relation between the known and the unknown. "Research" has many meanings at a major university. In some disciplines, such as the arts, creative achievement is the means by which a faculty member's scholarly contribution is judged indispensable to the University's full research responsibility. The categories of research and creative activity will vary across departments and colleges. Research and creative achievement should not be measured only in terms of quantity but also in terms of quality. In each discipline, certain outlets for research and creative achievements are considered to be more prestigious and to demonstrate higher standards of scientific and creative merit than others among members of the discipline. Publication, presentation, exhibition, or performance through these outlets should be recognized as demonstrating a high standard of scientific and creative merit. Because these standards of merit vary greatly among disciplines, primary assessment of quality measures should be made within a discipline rather than across disciplines.

While the appropriate mix of research and creative outputs and input activities may be specific to a given discipline, some general dimensions of research and creative achievement performance might be considered.

Input Activities

Input activities are those in which a faculty member must engage in order to achieve a research and creative achievement output on which the faculty member will be judged. These input activities could include:

- Selecting realistic yet challenging research/creative achievement topics;
- Using appropriate methods and techniques in meeting objectives;
- Optimizing research/creative achievement outputs relative to inputs, such as time, personnel, materials, facilities and equipment;

- Internalizing responsibility for research/creative achievement program effectiveness;
- Expending personal effort in the research/creative achievement effort;
- Investing in professional growth and development;
- Providing leadership in research/creative achievement efforts;
- Adhering to high standards of professional conduct in research/creative achievement;
- Integrating short-term and long-term goals into a comprehensive research/creative achievement strategy;
- Conducting on-going projects to a timely conclusion;
- Committing appropriate efforts to seeking external funds;
- Securing appropriate external funds;
- Providing effective oversight to externally funded activities;
- Committing appropriate efforts to joint research/creative achievement activities.

Output Activities

A faculty member is evaluated in research and creative achievement by his/her output based on certain input activities such as those described above. Some issues which could be considered when evaluating a faculty member's research/creative achievements outputs are given below.

- Is the research/creative achievement innovative;
- Does the research/creative achievement demonstrate scientific and/or creative merit;
- Is the research/creative achievement output commensurate with research responsibilities and available sources;
- Does the research/creative achievement contribute to the mission of the department, college and University;

- Are the research/creative achievement outputs communicated to appropriate audiences;
- Are the research/creative achievement results communicated through appropriate vehicles (journals, presentations, performances, etc.);
- Are the research/creative achievement outputs communicated in an articulate and/or effective manner;
- Are the research/creative achievement outputs disseminated in a timely manner;
- Are research/creative achievement outputs provided to collaborators and other users in a timely manner?

APPENDIX C- IDEAS AND BEST PRACTICES FOR EVALUATING FACULTY SERVICE

Service is defined as activities in which faculty members offer professional knowledge, skills, and advice to their communities (University, profession, and public). Service activities, whether compensated or not, draw on professional expertise, relate to the teaching and research missions of the University, and, typically, imply a connection to the University. Sharing professional expertise with those outside the academy is both an educational experience and a test of the results of research. It follows that not all “services” faculty perform will be relevant to the University’s judgment of their work. Activities in which faculty engage that do not involve their professional expertise - activities centered on the family, neighborhood, church, political party, or social action group - are commendable as being the normal commitments of citizenship, but are not components of the workload of a member of the faculty. When involved in those activities, faculty members do not typically present themselves as representatives of the University.

University

Service to the University can include the following:

- Participation in the review of the teaching and research of peers;
- Service as mentor to a probationary faculty member;
- Active service on the Faculty Senate or other college or campus committees;
- Participation in the development of interdisciplinary programs and/or courses.

Profession

Service to the disciplinary specialty can include the following:

- Active service in leadership structure or on a committee of a professional organization;
- Service on the editorial board of a journal;
- Maintenance of web site or moderation of listserve;
- Service as a reader for a journal or university press.

Public

Service to the public can include the following:

- Consulting, whether compensated or not, on matters within the professional expertise of the faculty member;
- Conducting workshops or giving speeches in one's area of expertise;
- Engaging in creative activities and research projects which are not intended for peer review;
- Evaluating community sponsored programs or activities.

While service is, like teaching and research, a required component of the professional life of a faculty member, the type and amount of service a faculty member engages in will vary from year to year and from department to department. Specific service expectations will be negotiated by the faculty member and the department head at the annual planning and review conference. For probationary faculty, service is not a substitute for the establishment of a solid record of independent research and/or creative activities and quality instruction.

APPENDIX D - EXAMPLE OF A CURRICULUM VITAE

(This example is not intended to be a required format; it must be adapted to be appropriate for the discipline.)

CANDIDATE NAME

Personal May include address(s) and phone number(s) and other personal information that the candidate feels is pertinent.

Education List most recent degree first, each entry as follows: Date, Degree, Subject Area, Institution, Thesis Title and Advisor (as appropriate).

Example: 1985, Ph.D., Physics, University of California, Los Angeles, Thesis Title: "Density of Three-Dimensional Quasi-crystals," Thesis Advisor: Professor I. Newton

1980, B.S., Honors, Physics, University of Michigan

Experience List current appointment first, each entry as follows: Dates, Title, Institution.

Example: 1987 – present Assistant Professor of Physics,
University of Tennessee, Knoxville

Honors and Awards List honors or awards for scholarship or professional activity.

Example: 1991 Teacher of the Year, UTK
1988 NSF Presidential Young Investigator Award
1986 Miles Davis Research Fellow

Memberships List memberships in professional and learned societies, indicating offices held, committees, or other specific assignments.

Example: American Physical Society, 1982-present
APS Quantum Division, Chairperson, 1988-1990
American Association for the Advancement of Science, 1985-present

Graduate Students List supervision of graduate students, postdocs and undergraduate
Postdocs honors theses showing:

Undergraduate Students	Years	Degree	Name
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Honor Students

Show other information as appropriate and list membership on graduate degree committees.

Example: 1989-1991 Ph.D. Jane Smith (currently Postdoctoral Fellow,
University of California, Berkeley)

 1987-1988 Honor Thesis Alfred E. Neumann (currently Ph.D. candidate,
University of Michigan)

Service Activity List University and public service activities.

Example: Chair, Arts and Sciences Dean Search Committee, 1989
President, UTK Faculty Senate, 1991-92
Consultant, Plyer Engineering Services, 1994-1997
Arts and Sciences Scholar in the Schools, Gresham Middle School, 1998
Science Consultant, Knox County School Board, 1999

Brief Statement of Research Interest May be as brief as a sentence or contain additional details up to one page in length.

Publications List publications in standard bibliographic format with earliest date first.

- Citations should include beginning and end page numbers (or total pages, as appropriate);
- For multiple-authored works, indicate candidate's contribution (i.e., principal author, equal co-author, supervisor, etc.);
- Manuscripts accepted for publication should be included under appropriate category as "in press;"
- Segment the list under the following standard headings:

Articles published in refereed journals

Books

Scholarly and/or creative activity published through a refereed electronic venue

Contributions to edited volumes

Papers published in refereed conference proceedings

Papers or extended abstracts published in conference proceedings (refereed on the basis of abstract)

Articles published in popular press

Articles appearing in in-house organs

Research reports submitted to sponsors

Articles published in nonrefereed journals

Manuscripts submitted for publication (include where and when submitted)

Examples:

ARTICLES PUBLISHED IN REFEREED JOURNALS

Doe, J. and Smith, J. "Fundamentals of Inelastic Scattering Measurements in Fluid-filled Aerogels," Phys. Rev. Lett., 51 (1990) 1006-1010. (Primary author)

Smith, J. and Doe, J. "Polarized Quark Collisions," Phys. Rev., 62 (1990) 141-150. (Advisor of Ph.D. Student)

MANUSCRIPTS SUBMITTED FOR PUBLICATION

Doe, J., "Paradoxes in Electroweak Bosons Theory." Submitted to Nucl. Phys., October 1992.

Research Grants and Contracts	Entries should include:			Total Award Amount
	Date	Title	Agency/Organization	

Segment the list under the following headings:

Completed

Funded and In Progress

In Review

<i>Example:</i>	<u>Completed:</u>	1989-1992 "Supercollider Analysis of Hadron Collisions," National Science Foundation, \$12,000/year.
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	<u>In Progress:</u>	1993-1997 "Extended Analyses of Hadron Collisions," NSF, \$25,000/year.
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Other Research or Creative Accomplishments	List patents, software, new products developed, etc.
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Selected Professional Presentations	"New Techniques for Studying Hadron Collisions", 95 th Meeting of the American Physical Society, Washington, D.C., December 1998.
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APPENDIX E - TENURE AND PROMOTION CALENDAR

(Specific dates for the various deadlines will be announced in July of each year.)

A. Schedule For Promotion and Tenure Review:

Late September	1 st Promotion and Tenure Workshop-Department Heads
Late September	2 nd Promotion and Tenure Workshop-Department Heads
Late September	All Promotion and Tenure review committees established
Late September	1 st Promotion and Tenure Workshop-New Faculty/Continuing Faculty
Late September	2 nd Promotion and Tenure Workshop-New Faculty/Continuing Faculty
Late October or Early November	Deadline for submission of review materials to Department/Unit Head
Early January	Deadline for submission of Departmental recommendations to College
Early February	Deadline for submission of College Committee recommendations to Dean
Early March	Deadline for Dean's recommendations to UTK Academic Affairs Office
Early May	UTK central administration recommendations submitted to President
Late June	Board of Trustees action on tenure recommendations

B. Schedule for Retention Review:

1. For tenure-track faculty in their second year of UTK appointment who are **not** to be retained after July 31:

Late November	Deadline for Departmental recommendation to the College
Early December	Deadline for College recommendation to Office of the Provost
Mid December	Deadline for official notification by the Vice Chancellor

2. For tenure-track faculty in their first year of UTK appointment who are **not** to be retained after July 31:

Late February	Deadline for Departmental recommendation to the College
Early March	Deadline for College recommendation to the Office of the Provost
Mid March	Deadline for official notification by the Provost

3. For all other tenure-track faculty not under review for tenure/promotion during a given academic year:

Late January	Deadline for Departmental recommendation to the College, whether to retain for at least one more year or definitely not to retain after July 31 of the subsequent academic year
Mid March	Deadline for College recommendation to Academic Affairs Office
Mid May	Deadline for the Vice Chancellor to notify anyone who will not be retained after July 31 of the subsequent academic year

APPENDIX F - MASTER CHECKLIST FOR TENURE REVIEW

MASTER CHECKLIST OF TENURE REVIEW ITEMS	SUBMISSION RESPONSIBILITY		SUBMISSION REVIEW			
	CANDIDATE	ADMIN	DEPT FACULTY REVIEW	OUTSIDE EVALUATOR	COLLEGE REVIEW	PROVOST REVIEW
CURRICULUM VITAE	X		YES	YES	YES	YES
ANNUAL REVIEWS		X	YES	NO	YES	YES
TEACHING						
CANDIDATE'S STATEMENT	X		YES	NO	YES	YES
LIST OF COURSES	X		YES	NO	YES	YES
STUDENT EVALUATIONS	X		YES	NO	YES	YES
PEER REVIEW		X	YES	NO	YES	YES
FACULTY/OTHER INPUT	X		YES	NO	YES	YES
HONORS AWARD	X		YES	NO	YES	YES
STUDENT SUPERVISION AND COMMITTEE WORK	X		YES	NO	YES	YES
SELECTED WORK RELATED TO TEACHING: SYLLABI, COURSE MATERIALS, STUDENT WORK	OPTIONAL		OPTIONAL	NO	OPTIONAL (MAY REQUEST)	NO
RESEARCH, CREATIVE WORK, SCHOLARSHIP						
CANDIDATE STATEMENT	X		YES	NO	YES	YES
ALL FACTUAL INFORMATION	X		YES	NO	YES	YES
ADDITION OF FACTUAL INFO	X		YES	NO	YES	YES
SELECTED PUBLICATIONS, VIDEOS, RECORDINGS, AND OTHER EXAMPLES OF RESEARCH AND CREATIVE WORK	X		YES	RECOMMENDED (SELECT ITEMS DETERMINED BY CANDIDATE)	YES	NO
SERVICE						
UNIVERSITY SERVICE RECORD	X		YES	NO	YES	YES
PUBLIC SERVICE RECORD	X		YES	NO	YES	YES
PROFESSIONAL SERVICE RECORD	X		YES	NO	YES	YES
EVALUATIVE STATEMENTS FROM APPROPRIATE INDIVIDUALS	X		YES	NO	YES	YES
OTHER INPUT						
EXTERNAL LETTERS		X	YES	NO	YES	YES
LOG OF EXTERNAL LETTERS		X	YES	NO	YES	YES
SELECTION OF REVIEWERS		X	YES	NO	YES	YES
QUALIFICATIONS OF REVIEWERS		X	YES	NO	YES	YES

MASTER CHECKLIST OF TENURE REVIEW ITEMS	SUBMISSION RESPONSIBILITY		SUBMISSION REVIEW			
	CANDIDATE	ADMIN	DEPT FACULTY REVIEW	OUTSIDE EVALUATOR	COLLEGE REVIEW	PROVOST REVIEW
<u>STATEMENTS OF EVALUATION</u>						
DEPARTMENT COMMITTEE		X	YES	NO	YES	YES
DEPARTMENT HEAD		X	YES	NO	YES	YES
COLLEGE COMMITTEE		X	NO	NO	-	YES
DEAN		X	NO	NO	NO	YES
PROVOST		X	NO	NO	NO	-
CHANCELLOR		X	NO	NO	NO	-



