

Tenure and Promotion Procedures and Criteria Department of Biology, The University of Memphis

I. Overview

All candidates for tenure and promotion should demonstrate significant productivity in research and scholarship, as well as effective teaching and service, consistent with documented expectations. Excellence in direct instruction and in all other professional activities related to teaching is the principal reason for existence of the University. Teaching conveys knowledge to students, helps them develop the skills and desire to seek knowledge, requires them to engage in critical analysis, and prepares them to enter into professions and scholarly disciplines. Scholarship, through discovery of new facts and production of new ideas, advances knowledge and learning in biology. Faculty are expected to engage in scholarly activities that generate new knowledge or new interpretations of existing ideas and to participate in the application of these ideas. They should communicate the results of their work through appropriate media to the scientific community. Candidates for tenure and/or promotion must have developed an original research program of high quality that is making a continuing and substantial contribution to science.

For annual and mid-tenure evaluations and applications for tenure and/or promotion, it is the faculty member's responsibility to document contributions and accomplishments according to departmental, College and University guidelines. The faculty member should carefully study the criteria and procedures established by the Regents and the University (see *Faculty Handbook*), the College and the department. Physical evidence such as syllabi and other teaching materials, student evaluations, publications, and documentation of service and outreach activities should become part of an ongoing and continuously updated dossier. Each faculty member makes unique contributions and has different assignments relative to teaching, scholarship, and service, and faculty activities will be evaluated individually and collectively for tenure and promotion decisions.

II. Annual Reviews/Evaluations

Near the end of each academic year, the Tenure and Promotion Committee will review the annual Activity Report of each **untenured faculty member** and provide written remarks on the candidate's progress toward tenure and promotion in each of the three main categories for assessment: teaching, scholarship, and service. The annual review document will be given to the untenured faculty member and the department chair. The chair of the T&P committee will meet with untenured faculty to discuss the document.

III. Mid-tenure Reviews

The Tenure and Promotion Committee will conduct a mid tenure review of each **untenured faculty member** during the second semester of the third year of employment at the University of Memphis. This review will occur earlier in cases for faculty with reduced probationary time. The mid tenure review will be based on the candidate's current vita, all annual Activity Reports submitted to the

department chair, and previous annual reviews. “Physical” evidence such as syllabi, student evaluations, copies of publications, and documentation of service activities should be included in the candidate’s file for the mid tenure review. The mid tenure evaluation dossier should follow the format of the T&P application preparing the candidate for full evaluation.

Results of the mid term evaluation will be in written, standardized form covering the following categories: Teaching, Scholarship and Service. These results will be presented to the department chair and to the faculty member. The purpose of this review is to provide constructive remarks and recommendations regarding the faculty member’s progress toward fulfilling the requirements for tenure and promotion. None of these reviews can be taken as representative of the committee’s future response to the actual application for tenure, or promotion, and a formal disclaimer to this effect will be part of the evaluation. However, this review will be incorporated into the candidates T&P application package. The mid tenure review will establish a framework for subsequent tenure and promotion.

The committee’s report and one by the Department Chair will be forwarded to the Dean who will offer the candidate an opportunity to provide additional information, either in writing or in a personal meeting.

The Tenure and Promotion Committee will conduct a review of each **associate professor** during the second semester of the third to fifth year after promotion to associate professor. The review will be based on the candidate’s current vita and all annual Activity Reports submitted to the department chair after their promotion. “Physical” evidence such as syllabi, student evaluations, copies of publications, and documentation of service activities should be included in the candidate’s file for the review and should reflect teaching, scholarship and service **since** promotion to associate professor. Faculty contemplating an application for promotion to full professor may request a similar review at least one year prior to their application.

Results of the evaluation will be in written, standardized form covering the following categories: Teaching, Scholarship and Service. These results will be presented to the department chair and to the faculty member, and the dossier and report will then be forwarded to the dean. The purpose of this review is to provide appropriate constructive remarks and recommendations regarding the faculty member’s progress toward fulfilling the requirements for promotion to full professor. None of these reviews can be taken as representative of the committee’s future response to the actual application for promotion, and a formal disclaimer to this effect will be part of the evaluation. The post tenure review will establish a framework for subsequent promotion.

IV. Criteria for Tenure and Promotion to Associate Professor

The criteria that follow are flexible rather than rigid. Assessment of performance is done regarding the individual faculty members specifically assigned duties as delineated on annual activity reports and evaluations. A candidate is expected to integrate information from the annual reviews and evaluations into the tenure and promotion application. The candidate is responsible for providing the Tenure and

Promotion Committee with all supportive materials that substantiate the range, significance, and quality of work with regard to teaching, scholarship, and service.

The guidelines for tenure and the guidelines for promotion to associate professor are the same. A candidate may not be awarded tenure without the rank of associate professor. Under special circumstances, application for promotion to associate professor is possible prior to awarding of tenure.

Qualifications for tenure and promotion:

- A. *Length of service*: Application for tenure and promotion to Associate professor is made at the **beginning of the sixth (6th) year unless**: (a) a reduced probationary period was negotiated at the time of employment or, (b) a stopping or slowing of the tenure clock for extraordinary circumstances has been agreed upon by the department chair, the dean, and the president, or (c) upon extraordinary progress toward meeting tenure qualifications, the department chair, dean, and the president agree upon a reduced tenure probationary period.
- B. *Appropriate degree*: A doctorate in an area of the biological sciences from an accredited college or university.
- C. *Teaching*: Excellent teaching is the result of the instructor's mastery of the subject, clear organization and presentation, use of appropriately up-to-date materials and methodology, respect for and fair treatment of students, and willingness to engage with them in open dialogue. Evidence of excellence in these endeavors of teaching is essential for the award of tenure or promotion. The candidate for tenure and/or promotion must present clear evidence of teaching effectiveness. Teaching effectiveness refers to the candidate's ability to:
- communicate with students in a classroom environment,
 - demonstrate command of the subject matter,
 - organize material and convey it effectively to students,
 - motivate students,
 - produce appropriate evaluation methods,
 - exhibit continuous growth in the subject field.

Evidence of teaching effectiveness may include, but is not limited to, some combination of the sources listed below:

- honors or special recognitions for teaching accomplishments
- development of courses, curriculum, and instructional methods
 - innovative courses, teaching material, or instructional techniques
 - leadership role in the development or significant revision of curriculum or course of study
 - creative use of technology in teaching and approaches to learning

- student evaluations and accomplishments
 - student ratings of instruction
 - letters/evaluations from former students
 - chair evaluations of instruction
- evaluation by colleagues
 - selection for teaching activities outside the University, e.g. Fulbright Awards, special lectureships, panel presentations, seminar participation
 - peer evaluation of teaching activities
- successful direction of individual student work such as independent studies, student research, or special student projects
- successful direction of theses and dissertations
- teaching honors courses

It is recognized that there is great variability in the degree and approach to teaching among the faculty within the Department of Biology. Some faculty may regularly teach broad survey courses involving large numbers of students, whereas others provide intensive, individual instruction to a small number of students. Such variability will be considered in establishing expectations for performance, and differences in the manner in which teaching is conducted will be taken into account in evaluation of faculty performance.

- D. *Research/Scholarship*: Candidates must have a record of high quality professional productivity, which is leading to national recognition in his or her academic discipline and gives a strong indication that scholarly productivity will continue. The candidate is expected to have developed an independent and productive research program at the University of Memphis that has advanced significantly beyond, or is independent of, pre- and postdoctoral research accomplishments. Prior to review of the dossier by the departmental T&P committee, candidate should present a departmental seminar demonstrating the development of an independent research program at the University of Memphis. The primary indicator of progress toward establishment of national recognition shall be the publication of research findings in quality peer-reviewed journals (as indicated by, but not limited to, the judgments of external reviewers, the journals' rates of rejection, the reputation of the journals, and empirically-based journal impact ratings). The quality of research is more important than quantity in evaluating the candidate's research contributions; however, there must be evidence of a consistent and continuing publication record. Success in acquiring peer-reviewed grants and contracts will serve as additional evidence of progress toward establishing a national research reputation. The candidate must have actively sought extramural funding and should have been successful in this endeavor. The opinions of the external reviewers will be important in assessing how the candidate's publication record and extramural funding compares to individuals at institutions similar to the University of Memphis.

Various aspects of scholarship are assessed from evidence provided by the candidate. Appropriate items may include but are not restricted to the following:

- honors and awards for research or other scholarly activities
- publication of research
 - books, reviews, monographs, bulletins, articles, and other scholarly works published by reputable journals, scholarly presses, or publishing houses that accepts works only after rigorous review by peers in the discipline
 - scholarly reviews of publications by the candidate
 - citations and reprint requests of the candidate's research publications
 - presentation at professional meetings
- competitive grants and contracts to finance research
- recognition by colleagues and organizations--invited papers, colloquia and awards.

The scholarship of teaching, which focuses on transforming and extending knowledge about pedagogy, is appropriate in biology. Classroom teaching and staying current in one's field do not constitute "scholarship of teaching." Items that constitute scholarship in teaching include but are not limited to:

- writing an appropriate textbook,
- innovative contributions to teaching which are published or presented in a peer-reviewed forum,
- research in teaching and learning that leads to new insights into how biological knowledge and skills are most effectively taught and learned at all levels,
- development of software that provides new or improved ways for teaching or learning biology, and
- grants obtained to finance teaching research.

E. *Service*: Faculty perform a broad array of services that are vital to supporting and sustaining the quality and effectiveness of the University and its programs. Faculty members are expected to provide service to the University, its students, clients, programs and professional discipline, and the broader community. Service includes University service, professional service, and outreach. The candidate for tenure and/or promotion should clearly document the nature, scope, and value of his/her service activities.

University service includes but is not limited to:

- participation and leadership roles on departmental, college, or University committees and task forces,
- advising and recruiting students,
- service to student organizations, and
- serving on the Faculty Senate.

Professional service includes but is not limited to:

- leadership roles in professional organizations (election to offices or committees),
- editorship of journals and newsletters of professional societies,
- membership on panels reviewing grant proposals and contracts,
- developing and organizing appropriate conferences and workshops,
- reviews of manuscripts and grant proposals,
- guest lecturing on other campuses, and
- curatorial activities

Outreach is sharing professional expertise with parties outside the university, and such activities should support and contribute to attainment of the goals and missions of the department, the college, and the university. Items here include but are not limited to:

- lectures given to various public groups,
- service on boards and commissions that utilize and enhance disciplinary and professional expertise,
- consulting in the public and private sectors, and efforts with K-12 enrichment.

V. Criteria for Promotion to Full Professor

- A. *Length of service*: Candidate must have **at least** ten (10) years appropriate professional experience (excluding experience concurrent with and in the same institution where studies were taken for an advanced degree) in the instructional discipline or related area.
- B. *Appropriate degree*: A doctorate in an area of the biological sciences from an accredited college or university
- C. *Teaching*: Candidate must have a sustained record of distinguished and effective teaching at the undergraduate and graduate level. This will be measured primarily by input from students and faculty colleagues in the form of student evaluations, letters from former students, peer evaluations, receipt of awards or recognition for teaching excellence, and any other means that will attest to the candidate's teaching effectiveness (see other examples above).
- D. *Research/Scholarship*: Candidate must have a post-tenure record of high-quality professional productivity and national and/or international recognition in the academic discipline. National and/or international recognition will be measured by performance in the following areas: publication of research results in the highest-quality peer-reviewed journals; significant record of invited presentations at important meetings and conferences and at major research universities; authorship and/or editorship of review articles, books, or monographs; a consistent record of peer-reviewed external research funding indicating that the candidate will be able to provide a sufficient level of support for his or her future research efforts; receipt of professional honors and awards; and any other accomplishments demonstrating that the candidate is a leader in his or her scientific discipline. There will be an independent assessment of the significance and

quality of the scholarship by external reviewers chosen from the candidate's field of expertise. For promotion to full professor, the overall external review must be construed as positive.

Candidate must also have a demonstrated and consistent record of successfully directing graduate students and/or post-doctorates.

- E. *Service*: Candidate must have a record of institutional, professional, and community service that includes evidence of significant contribution to the curriculum, institutional and educational goals, or intellectual life of the University as a whole, especially as these activities demonstrate professional leadership. Additionally, service on important scientific review boards and panels, editorial and advisory boards and committees, and in professional organizations, or the organization of professional conferences/meetings is deemed appropriate for candidates seeking promotion to full professor.

VI. Application Process

- A. The department chair will be notified during the spring semester (not later than February 28) by faculty who plan to submit an application for tenure and/or promotion in the forthcoming fall semester.
- B. The department chair will provide each candidate with the cover form and the department tenure and promotion document. The candidate should also consult the University and College Guidelines regarding tenure and/or promotion, as their dossier must conform to university and college requirements. The candidate is encouraged to consult with the chairperson of the Tenure and Promotion Committee on application protocol. The candidate is encouraged to ask a colleague to review his/her application prior to submitting it to the Tenure and Promotion Committee. The candidate's application will be submitted to the department office by a date specified by the department chair. This date must precede the date requirement of the College of Arts and Sciences by a suitable interim.

The candidate should submit material containing at least the following (**NOTE**: none of the materials submitted should be originals):

1. Evidence of having completed the terminal degree in the discipline.
2. A complete current curriculum vita, using the standard university form and style, and the College's CV Cover Sheet.
3. The candidate's initial contract and letter of offer.

4. An instructional history to include:
 - a. A statement of teaching philosophy and the College's Appointment History Form.
 - b. A history of all courses taught each term, including number of students enrolled (Appendix A of UM CV)
 - c. Student ratings of instruction and SIRS summaries (using College's SIRS Summary Form) from all classes taught at the University of Memphis to include: a minimum of six (6) different sections or classes over a period of at least the last five years and using a form approved by the department, college, and university. Supplementary material, *to be placed in a separate binder*, should include individual student responses from each class as well as computer summary forms. Cases may arise where the candidate is unable to meet the minimum number of ratings for this requirement. This condition may apply to faculty with assignment of a large percentage of their time to research. In addition, a candidate with reduced probationary period may be required to submit fewer student ratings of instruction. The exact number will be determined in consultation with the chair of the Tenure and Promotion Committee and the chairperson of the department.
 - d. Evidence of curricular development activities, e.g. development of new courses, revisions of current courses, innovative teaching materials, and any other items which document student learning, new instructional approaches, or development of instructional materials.
 - e. Awards and recognitions that the candidate and department deem appropriate and relevant and that demonstrates the candidate's commitment to high quality teaching.
5. A record of advising activities, both of formal and informal nature, which attests to the candidate's commitment to the understanding of the need for educational goals and the students' achievement of these goals. Faculty advising may take the form of assisting students in the selection of courses or careers, serving as faculty advisor with student groups, assisting in education programs both on and off campus, and mentoring graduate and undergraduate students. Documentation should include the number of students advised/served and their educational level (e.g., undergraduate, masters, doctoral) and the advising or mentoring services provided. Evaluations will consider innovations and creativity of services and their effectiveness.
6. A record of scholarship (normally found in the vita), including a complete list of scholarly publications and presentations, awards and recognitions, and other information that the candidate may deem appropriate and relevant to characterizing the candidate's commitment to high quality scholarship and scholarly productivity. Supplementary materials, *to be placed in a separate binder*, should include reprints.
7. A record of the application for and acquisition of funding, both extramural and intramural, including the dates, sources, purposes, and results of all such efforts.

8. A record of professional service, university service, and community outreach.
9. A copy of each annual planning document and associated annual evaluation for the five (5) preceding years (four (4) preceding years for tenure) or since initial appointment, whichever is less.

C. *External review letters*: The chair of the Tenure and Promotion Committee will obtain a minimum of four (4) external peer reviewers for candidates for tenure and promotion. These four reviewers will be selected from a list including a minimum of seven (7) names of qualified individuals who are considered to be experts in the candidate's field of study. The candidate will submit a list of potential reviewers by the end of March. The department chair and the chair of the Tenure and Promotion Committee will also develop a list of potential external reviewers. No more than one reviewer may have been a major advisor or collaborator, regardless of the number of letters obtained from external reviewers. A "collaborator" is any colleague or student with whom the candidate is currently conducting research or other significant professional activities or with whom the candidate has conducted such activities within the past five years. Scientific mentors – specifically Masters, Doctoral, and Postdoctoral major advisors – are considered collaborators regardless of the length of time that has passed since concluding professional activities. When selecting qualified peers, every effort should be made to minimize biases for or against the candidate. The final list of reviewers will be chosen by the department Tenure and Promotion Committee and the Department Chair. All external reviewers must be at the professorial rank aspired to by the candidate or higher rank. Promotion to full professor will require all reviewers be at the rank of full professor. The peer evaluations will be based on the candidate's visible record of scholarly activity. The Department Chair's report will provide the rationale for the choice of external reviewers.

All reviewers should receive the same materials for evaluation; if not, an explanation should be included. Peer reviewers who have agreed to write letters of evaluation should be sent the following as a minimum: the candidate's curriculum vitae, selected publications, and a letter requesting a written response to the question: "How do you assess the quality of the scholarly and/or creative activity of the candidate;" a deadline for the written response; and a statement that the State of Tennessee has an Open Records Law and that the candidate has access to the outside peer evaluation document. Consult the Provost's web page for an example of the letter to be sent to external reviewers.

- D. *Departmental Chair Responsibilities*: The Department Chair shall assure that the following information is provided to the Dean for inclusion in the candidate's dossier:
1. Information pertaining to the nature and quality of the candidate's scholarly productivity and potential for continuing scholarly growth and development;
 2. A statement regarding the candidate's impact upon the department's and University's missions; and
 3. A minimum of four (4) letters from external reviewers.

The Department Chair shall also have the responsibility for providing in the Tenure and Promotion dossier a written discussion of the quality of the candidate's productivity, including the nature and scope of the outlets where the candidate's productions have appeared (refereed or non-refereed; invited or submitted for review; local, regional, national international; disciplinary, interdisciplinary, and/or public and so on). The Department Chair shall forward the Committee's report as well as the Chair's own recommendation and supporting statement to the office of the Dean.

VII. Composition and Functioning of Departmental Committee

- A. *Inclusion Criteria*: The Tenure and Promotion Committee of the Department of Biology will consist of all tenured associate and full professors except the department chair. Only tenured full professors will vote on candidates applying for promotion to full professor.
- B. *Exclusion Criteria*: The candidate for promotion and/or tenure shall not be present during Committee discussion or vote. In order to vote on tenure or promotion, a member of the Committee must have participated in examination of a candidate's credentials and taken part in the Committee discussion of that candidate.

For purposes of voting on any tenure and/or promotion matter, faculty shall remove themselves from any discussion, voting, or participation that could influence voting on tenure and/or promotion matters when the candidate is:

1. A member of that faculty member's immediate family (e.g. spouse, son, daughter, or other family member residing in that family member's household).
 2. A member of that faculty member's extended family (e.g. siblings, parents, grandparents, cousins, uncles, aunts, or other next of kin).
 3. Any other person where there would exist the appearance of conflict of interest or impropriety.
- C. *How/when is chair elected*: The chairperson of the Tenure and Promotion Committee shall be elected for a term of one year (January – December) by the members of the T&P committee during the fall semester of the preceding year.
- D. *Quorum and minimum committee size*: A quorum, consisting of two thirds (2/3) of the membership, must be present for this Committee to convene and conduct business. If there are fewer than four faculty eligible to vote on a candidate, the Committee will submit a request to the Dean through the Department Chair to establish a four-member committee using faculty of eligible rank from other units.
- E. *Voting procedures*: Applications will be grouped and acted upon in the following order: (1) tenure and, (2) promotion. Within each group, applicants will be considered in alphabetical

order by rank. After each candidate's application has been reviewed and discussed, a vote will be taken by secret ballot. All eligible voters must vote "yes", "no", or abstain on tenure and promotion recommendations. No ballots will be counted until a vote has been taken on all applicants. The Committee will verbalize remarks to be appended to each candidate's application, and the committee chairperson shall write down, collate the remarks, and complete the forms for each applicant. **Nothing may be added to or deleted from the dossier after the vote by the Tenure and Promotion Committee.**

- F. *Recommendation*: The candidate's application and the Tenure and Promotion Committee's recommendations will be forwarded to the Department Chair. If the Department Chair is being considered for tenure or promotion, the dossier shall be transmitted directly from the Tenure and Promotion Committee to the Dean. The department Chair's recommendation is independent of the T&P committee recommendation. Department chair notifies applicant of progress-to-date.

VIII. Modification of T&P Guidelines

The tenured associate and full professors of the Department of Biology, in consultation with the faculty, shall be responsible for establishing departmental policies and procedures for tenure and promotion. Guidelines will be reviewed every six years, but amendments may be suggested at any time. Amendments may be proposed by tenured associate and full professors in the department and must be approved by a simple majority of the departmental Tenure and Promotion Committee. All department criteria must be approved by the Chair, the Dean and the Provost.

These guidelines are to be on file in the departmental office and should be distributed to all new faculty, to candidates for annual and midterm reviews, and to applicants for tenure and/or promotion. These criteria are also to be included with tenure and promotion applications sent to the College.

IX. Time Table

Step	Responsibility	Action	Due Date
1	Candidate	Notify department chair of intention to apply for tenure and/or promotion	February 28
2	Candidate	Submit annotated list of potential external reviewers to T&P Committee Chair	March 31
3	Candidate	Submit packet of publications and vita for the Department Chair to send to external reviewers	April 15
4	T&P Chair	In consultation with Department Chair, select external reviewers and solicit their agreement to review the candidate's material	April 15
5	T&P Chair	Send cover letter, candidate's packet of materials, and department guidelines to external reviewers; prepare statement of rationale for selection of external reviewers	May 1
6	Candidate	Submit complete dossier and supplementary materials to Department Chair	September ¹
7	Candidate	Present seminar of research program at U of M	September ²
8	T&P Committee	Review dossier and supplementary materials; discuss and vote in committee meeting(s); draft committee recommendation for committee members to review	September/ October
9	T&P Comm. Chair	Finalize committee recommendation and submit it to Department Chair	September/ October
10	Department Chair	Independently review candidate's dossier, external reviews, and T&P Committee recommendation; prepare recommendation	October
11	Department Chair	Inform candidate(s) for tenure and promotion to associate professor of T&P Committee and Department Chair recommendations	October
12	Department Chair	Submit candidate's dossier (with selected publications as a supplement), external reviews, recommendations of T&P Committee and Department Chair	October

¹ The specified dates for September and October events are in accordance with the calendar issued by the College of Arts and Sciences.

² Prior to review of dossier by departmental T&P committee.