

Promotion and Tenure Policy and Procedures

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Introduction

Tenure is the granting to a faculty member the expectancy of permanency and security in his/her academic appointment. The granting of tenure is contingent upon demonstrated competence and fitness for membership at acceptable levels in a collegiate community if the position is retained (i.e., needed based on the academic mission and financial security of the College). Tenure is not to be viewed as a reward for long service, for loyalty to an institution, or simply as a means by which the services of certain professors may be obtained and/or extended. Rather, the granting of tenure is a certification of competence and of trust in present and continued professionalism. It is awarded upon the recommendations of colleagues and administrators and may be revoked only when stated causes for dismissal have been substantiated through due process, for financial exigency, or for curricular reasons.

The acceptance of tenure implies a commitment on the part of the faculty member to academic pursuits and to the scholarly and professional performance of assigned duties. Academic rank is an expression by faculty and administration that a peer who is engaged in teaching, research, and service merits the academic reward of promotion in rank. Different academic ranks (e.g., Assistant Professor, Associate Professor, and Professor) imply different levels of expectation in responsibility and achievement.

The general policies on promotion and tenure (P&T) of The University of Memphis furnish the base upon which the College of Health Sciences (CHS) determines its criteria for P&T. A copy of the university guidelines is available on the university website (provost office site). Questions relating to the policies and the criteria, or to any interpretation thereof, should be submitted to the College Dean.

Committee on Promotion and Tenure

The College Committee on P&T will function and proceed as follows:

1. The committee will be comprised of all full-time Associate Professors and Professors, of any faculty category (i.e., tenure-track, clinical, research, teaching). When the faculty member seeking promotion is a tenure-track or tenured candidate, only tenured faculty members may vote. When the faculty member seeking promotion is a non-tenure-track candidate, all committee members are eligible to vote (regardless of faculty category). Committee members may only vote for those faculty members who are applying for promotion to a rank in which the committee member currently holds, or higher (Associate Professors will vote on Assistant Professor promotion; Professors will vote on Assistant Professor and Associate Professor promotions).
2. Faculty members seeking tenure and/or promotion are ineligible to serve on the committee during that given year.
3. The first meeting of the committee will be called early in the fall semester (first part of September) by the committee chair, who will usually be nominated/elected during the prior fall semester by the College faculty or be appointed by the Dean. This initial meeting will serve as an *informational meeting* to provide all voting faculty with an overview of their responsibilities in reviewing candidate materials and providing an unbiased recommendation. The College Dean may be present at this meeting.

- a. Although not required, it is ideal for the committee chair to hold the rank of Professor with tenure, so that he/she can participate in all voting (i.e., candidates applying for the rank of either Associate Professor or Professor).
4. The committee chair will issue the call for all subsequent meetings. Considering that the review of the candidate's materials is done online, with few exceptions, there should be the need for only one or two meetings after the initial informational meeting.
5. Voting at the College level must be by secret ballot. Committee members must be present to vote. The committee chair will tally votes and retain the ballots for one month, after which time, the ballots will be destroyed. The committee chair will transfer vote counts to a master form (recommendation form) which will be included in the candidate's P&T file and retained by the College Dean.

Responsibilities of the CHS Promotion and Tenure Committee

Committee responsibilities are four-fold:

1. Evaluate candidates eligible for tenure and/or promotion and make recommendations to the CHS Dean (via the P&T committee chair).
2. Evaluate and advise new, untenured faculty at the conclusion of the first three years (mid-tenure review). This is to be done by tenured faculty only.
3. Advise the CHS Dean, as needed, regarding tenure and/or promotion concerns and issues that may arise during candidate reviews.
4. Review and propose recommended changes as needed to the P&T document.

The committee uses a variety of information when considering a faculty member for tenure and/or promotion. Some judgments can be based upon objective evidence such as the number of external grant applications and contracts submitted, the total dollar amount of external support, the number of peer-reviewed articles, book chapters, books, invited lectures, conference presentations, abstracts, consultancies, and the like. However, in the context of sufficient quantity, the *quality* of accomplishments should be equally important. The assessment of scholarship quality may be subjective in certain cases and should be determined only after careful review. Items such as journal impact factors, h-index, citation index (if such data are available), and manuscript acceptance rates may provide some guidance when assessing quality. Both print and online “open access” journals can be considered meritorious, depending on the publication.

Regarding teaching effectiveness, student evaluations (both numeric and written: SETES—as described below within this document) are required metrics. Additionally, submission of formal peer-reviews of faculty teaching effectiveness is strongly encouraged. Anecdotal comments provided by peers and students also may be considered. Variables such as the type and nature of the course (e.g., graduate vs. undergraduate; lecture vs. laboratory; assignments and grading utilized), the number of new course preparations, and class size may also be considered in the evaluation.

Regarding service, a wide variety of activities may be considered in evaluating faculty members. These include service responsibilities within the College and university, as well as within the profession. Some examples include committee work, manuscript reviews, journal editorial board positions, laboratory, center or facility directorship, and presentations

provided to, and articles written for the general public pertaining to a faculty member's area of expertise.

Qualitative judgments should be provided by external professionals, who agree to assess the candidate's research and scholarly activity. These written assessments are solicited by the faculty member and/or College Dean and reviewed by the P&T committee (see External Peer Review Policy). When assessing the candidate, it is the committee's responsibility to consider all the following:

1. The candidate's entire online "portfolio" or "dossier."
2. How well the candidate has performed on annual evaluations.
3. The teaching and service performance of the candidate.
4. Whether or not the candidate is actively developing (Associate Professor) or has successfully developed (Professor) a focused line of research, to be viewed as having potential for (i.e., leading to) national recognition (Associate Professor) or currently having national recognition (Professor) in his/her area of expertise.
5. Whether or not the candidate has made necessary improvements (if applicable) as suggested by the College Dean in written format (i.e., annual evaluations, mid-tenure review), concerning their research, teaching, and/or service responsibilities.
6. Whether or not the candidate's performance aligns with College goals, needs, and future directions.
7. The degree of collegiality of the candidate.

Importance of Candidate Review

The review of candidate materials for tenure and/or promotion consideration should be viewed as one of the most important service responsibilities of a faculty member. As such, the responsibility should be taken very seriously, with great effort placed on the review of candidate materials. Faculty members are encouraged to plan for the appropriate time to be spent reviewing candidate materials (in some cases, many hours) so that an appropriately informed decision can be made regarding the candidate application.

Eligibility for Promotion and Tenure

A faculty member with the rank of Assistant Professor or higher who has completed a five-year probationary period (unless otherwise prescribed in writing and approved by the College Dean and provost) must apply for tenure. Absent an exception approved by the College Dean, provost, and president, application for tenure must be reviewed in the fall semester of the sixth year. (Note: The candidate will begin the process during the spring semester of their fifth year, as indicated below in P&T Timeline and Procedures).

Exceptions that may affect the length of the probationary period are addressed in the *Faculty Handbook* section 4.9.3. To receive tenure, a candidate must meet eligibility requirements for promotion to Associate Professor. This applies to candidates who are seeking both promotion and tenure simultaneously (which is most typical) or candidates who are seeking tenure alone (for those who entered at the rank of Associate Professor or Professor *without* tenure). Tenure applications receive one of two responses: tenure is granted, or tenure is denied. Re-application for tenure is prohibited and the seventh or another pre-approved final year will be terminal if tenure is denied.

As per The University of Memphis *Faculty Handbook*, faculty members who are not recommended for promotion and tenure will be given notice of non-renewal of the appointment. Upon receipt of notice of such non-renewal, the faculty member will be eligible for a one-academic-year non-renewable appointment at the University. Failure to apply for tenure in the academic year that precedes the end of the probationary period will result in the non-renewal of the candidate's contract for the following year. Unlike unsuccessful applications for tenure, the candidate will not be provided an automatic one-year contract if he/she fails to apply for tenure at the specified time.

Faculty holding temporary Research, Clinical, or Teaching appointments are not eligible for tenure (but can be promoted). Also, faculty may not be tenured in an administrative position. A faculty member will retain tenure in his/her former faculty position when appointed to an administrative position, and anyone otherwise eligible for tenure and who also holds an administrative position may earn tenure in the faculty position only.

Tenure Only

In some circumstances, faculty may be hired at the rank of Associate Professor or Professor, rather than at the rank of Assistant Professor. In most cases, they will not be immediately granted tenure and will need to apply for tenure after completing a certain number of years of service (to be determined at the time of hire). To receive tenure, the candidate must meet the same eligibility requirements as for promotion to *Associate Professor*. This is true for those who are hired at the rank of Associate Professor or Professor.

Promotion Only

Faculty members may apply for promotion to Professor whenever they believe they meet the established criteria. As per the *Faculty Handbook*, when applying for promotion to Professor a faculty member must have served at least five years at the rank of Associate Professor (note: exceptions to this minimum rank qualification can be approved by the provost). Those applying for promotion to Professor should be well-recognized in their specific area of expertise at the time of application—viewed as having national recognition and having contributed substantial research contributions to the specific field of study.

Although not eligible for tenure, research faculty, clinical faculty, and teaching faculty are eligible for promotion in rank, with an expectation of five years of service at the existing rank prior to being promoted (same as with a tenure-track position). Available research faculty ranks are 1) Research Assistant Professor, 2) Research Associate Professor, and 3) Research Professor. Research faculty conduct research supporting the mission of the College. In addition to overseeing relevant investigations, funding acquisitions to support those activities, as well as the management of one or more centers/laboratories, are expected. The promotion of research faculty is based on their performance in a specified role.

Available clinical faculty ranks are 1) Clinical Assistant Professor, 2) Clinical Associate Professor, and 3) Clinical Professor. Clinical faculty responsibilities depend upon the position but typically include teaching, student supervision, and/or management of centers or laboratories. The promotion of clinical faculty is based upon their performance in a specified role.

Available teaching ranks are 1) Assistant Professor of Teaching, 2) Associate Professor of Teaching, and 3) Professor of Teaching. Although service and/or research expectations may exist, the primary function of teaching professors is to teach courses. Therefore, promotion is almost exclusively based on teaching performance. Performance, in this case, is based on the delivery of content, the management of courses and students, and the level of unique expertise possessed by the faculty.

Faculty members are strongly advised, but not required, to confer with the College Dean before submitting applications for promotion.

P&T Timeline and Procedures

The following procedures should be followed, with few exceptions:

1. The College Dean will initiate the promotion to Associate Professor with tenure for eligible faculty in the College. A detailed letter will be sent to candidates, describing the process and the timeline for submitting needed materials. The same will be done for candidates interested in applying for promotion to other positions (e.g., Research Associate Professor, Clinical Associate Professor, Associate Professor of Teaching). However, such candidates will need to notify the College Dean prior to this time of their interest in applying for promotion.
 - The College Dean will supply candidates with copies of the College and university guidelines for P&T. These will be provided as electronic versions or website links for which the documents can be found.
 - The College Dean will request the names, contact information, and other pertinent information related to potential external reviewers (see External Peer Review Policy below).
 - The College Dean will request that candidates upload all needed materials for review to the online folder. (Note: The link to the online folder will be provided).
 - i. When: Although the timeline may vary slightly from year to year, the following provides a reasonable expectation:
 1. External Reviewer names and information: *1st week of May*
 2. Upload of The University of Memphis-style curriculum vitae (CV), all three narratives, and three representative peer-reviewed manuscripts—all of which will be available to the external reviewers: *May 31st*
 3. Upload of ALL materials to be reviewed by the College committee: *August 31st*
 - a. Note: Candidate access to the online folder will be terminated after the August 31st deadline
2. Candidates will prepare and upload all needed materials for review to the online folder by the stated deadlines.
3. The College Dean will submit the names of faculty members to be considered for tenure and/or promotion to the College P&T Committee chair.
 - i. *When: Early summer*
4. The College Dean will contact potential external reviewers to solicit recommendations.
 - i. *When: Early summer*

5. The College Dean will receive the external reviewer letters, and these will be uploaded, in addition to all other required materials, to the candidate's folder.
 - i. *When: August-September*
6. The College committee will review candidate materials independently over a period of 7-10 business days. They will then meet collectively to discuss each candidate and to vote on tenure and/or promotion.
 - i. *When: Mid-September*
7. The College P&T committee chair will draft a letter outlining the strengths and weaknesses of the candidate and submit it to the committee for review and revision as needed. Once finalized, the committee chair will submit a signed electronic copy of the letter to the College Dean. In addition to this letter, the committee chair will submit an electronic version of the completed P&T Recommendation Form.
 - i. *When: End of September*
8. The College Dean will review the committee recommendations, in addition to all candidate materials, and write a recommendation letter for the candidate. The letter will be uploaded to the candidate folder, along with any supplemental required materials.
 - i. *When: End of September*
9. The College Dean will make a recommendation to the provost.
 - i. *When: October*
10. The provost will review the candidate materials and make a recommendation to the president. The president will make a recommendation to the Board. The candidate will be notified of the outcome.
 - i. *When: During the subsequent spring semester*
 - ii. NOTE: In the case of a negative outcome, the faculty member has the right to appeal the decision. Please see Appendix B.1 of the Faculty Handbook for information specific to Rights of Appeal.
11. The candidate assumes the new rank (if tenure and/or promotion are approved).
 - i. *When: Start of the subsequent fall semester*
12. The College Dean will meet with candidates as requested, to address any questions or concerns they may have regarding the process of tenure and/or promotion.
 - i. *When: As needed throughout the process*

Voting Procedures of the Committee

The College P&T committee will observe voting procedures listed below:

1. Spouses of candidates may not participate in committee discussions at any level.
2. Voting on the candidates will commence when the committee chair believes that the discussion of the candidate has been adequate, and the time is right to begin voting.
3. Each member must be present to vote and will respond by secret ballot by casting a “yes” or “no” vote. In the event of extenuating circumstances, i.e., the Coronavirus pandemic and on-site restrictions, the committee chair will notify committee members of an alternative anonymous voting procedure.
4. Voting for tenure of an Assistant Professor and promotion to the Associate level rank is done concurrently (a single vote), whereas when voting for tenure as an Associate Professor or Professor, or voting for promotion to a higher rank, these are done separately.
5. Candidates receiving a majority of affirmative votes are recommended.

NOTE: At least two-thirds of the committee members must be present for each meeting at which time candidates are considered and/or voted on. Deliberations of the committee will be held in strict confidence. Discussions will be objective and will be confined to the consideration of established criteria for tenure and/or promotion. As indicated above and in accordance with university policies, the committee chair will make a written report of all decisions to the College Dean, including reasons for the recommendation.

Processing and Reviewing Candidate Materials

The online collection of candidate materials (dossier) provides evidence of qualification for tenure and/or promotion and how the candidate's effort may contribute to the College's mission and goals. Each candidate for tenure and/or promotion must present a dossier of materials according to current College and university policy—as indicated within *The University of Memphis Faculty Handbook*. That said, it should be noted that the College requires that all candidate materials to be considered for P&T must be uploaded electronically to the candidate folder. No hard copy materials will be used in the review process.

The candidate should upload ALL materials to be reviewed by the College committee (as well as by the College Dean and provost) specific to the areas of 1) research (scholarship), 2) teaching, and 3) service. All appropriate supporting materials relative to research, teaching, and service should be included. Examples of supporting materials include copies of ALL publications and summary student evaluations of courses (SETES). The inclusion of non-essential documents is discouraged.

Candidates should prepare online dossiers for review in accordance with the specific guidelines provided by the College. An online folder for each candidate will be set up and the current required numbering system by which each document should be uploaded to the online folder will be provided. Candidates must save documents by the required numbering system so that reviewers will successfully be able to locate needed items for review. Candidates who are uncertain what to include in their dossiers or how to organize the material should seek help from the College Dean and/or colleagues, particularly those who have previously completed the

process and now serve on P&T committee. Great care should be taken in the preparation of the materials.

While a general timeline for review is provided above, the specific due dates are determined each year by the office of the university provost. Once submitted, no materials may be added by either the candidate or the College, nor should materials be modified after any noted deadline date. However, the P&T committee chair may request from the College Dean clarification or additional materials related to a candidate.

Materials to Include in Online Folder (dossier)

The candidate is expected to include a wide variety of information within their online folder. While the list below provides a brief summary and description of the primary documents that will be reviewed, the candidate should consult with the College Dean for a complete list of the current requirements for material upload (and numbering). For example, items such as the initial appointment letter, annual evaluations, mid-tenure review letters, a CV cover page, lists of all internal and external grants and contracts, as well as a list of awards and honors are required.

1. The University of Memphis Curriculum Vitae

- a. The CV should be current and include all relevant information up to the time that the candidate submits materials for external review (by May 31st). No changes should be made to the CV after that time (i.e., during the months of June-August). Doing so results in different documents being reviewed by external reviewers and committee members, often resulting in confusion.
- b. Regarding *peer-reviewed publications* (e.g., original manuscripts, review articles, book chapters), all the following must be provided directly under each publication listed on the CV. While it is understood that items such as impact factor and journal acceptance rate may not perfectly assess overall research quality (and may not apply in the same way to all fields), they do provide evidence pertaining to research quality and are widely used. Note that both print and online “open access” journals can be considered meritorious, depending on the publication. If a candidate has other items they believe are important for consideration concerning work quality, they are encouraged to include these under each manuscript listed on the CV.
 - i. Candidate roles in publication (e.g., principal investigator, study design, data collection, data analysis, manuscript writer, manuscript editor, etc.)
 - ii. Journal acceptance rate for manuscripts (if such data are available)
 - iii. Journal impact factor
 - iv. Article citation index
 1. If data for impact factor and/or citation index are unavailable, the candidate should briefly describe the journal (i.e., target audience, type of publication, reputation within the field of study). This is to provide the reviewers with a better understanding of the scholarly work and the outlet for sharing the information.
 - v. Copies of all publications listed on the CV must be included in the online folder. Only publications that are in print or in press (i.e., fully accepted, with a letter documenting full acceptance—to precede the actual

manuscript when saving as a PDF) should be considered as publications. Articles or chapters that are under review or revision, regardless of how many times they have been revised (e.g., third revision), are not considered publications and may be listed separately as "works in progress" if desired. Additionally, technical reports, articles for the lay press, and other products should not be listed under peer-reviewed (refereed) journal articles.

- c. Regarding *externally funded grants and contracts*, all the following must be provided directly under each grant/contract listed on the CV:
 - i. Candidate's specific role in securing the funding (e.g., principal investigator, co-investigator, chief application writer, data technician, project coordinator, consultant, statistician, etc.)
 - ii. The title of the project
 - iii. The funding *source and type* (Industry, Foundation, Government) of the project (include the funding percentile if available)
 - iv. The duration of the project
 - v. The total budget of the project (inclusive of all direct and indirect costs)
 - vi. The university approved percent effort for the candidate during the time working on the grant/contract (30%, 10%, 1%, etc.)
 - vii. A statement related to how the funding is associated with the candidate's specific line of research inquiry
 1. This information will help reviewers better understand the importance of the listed grant/contract in relation to the candidate's overall scholarly activity.

NOTE: While candidates are required to list all externally funded grants and contracts on their CV, with supportive information as outlined above, candidates are strongly encouraged to also list all unfunded grant/contract applications, in addition to internally funded grants (e.g., Faculty Research Grants). If done, the above information should be listed under each of these listings, as available.

2. Narratives on Research, Teaching, and Service

Candidates will write short (2-3 page, single-spaced) narratives to summarize their interests, philosophy, goals, agenda, plans, and/or accomplishments related to research, teaching, and service. The narratives should be used by the candidate to clarify, explain, and/or describe his/her roles and responsibilities on projects and other items listed on the CV. Good narratives are scholarly, informative, reflective, and descriptive. Narratives can prove very helpful to external reviewers, P&T committee members, and the College Dean if they can provide a link as to how the candidate's research agenda, teaching assignments, community outreach, or service activities connect to each other. The narratives provide the candidate with an excellent opportunity to explain what they have done to date, why they have done it, what they have learned, and where they plan to go in the future. In preparing narratives, it is helpful to remember that the intended audience includes both experts in the field (e.g., external reviewers), as well as university colleagues who may have little understanding of the candidate's field of study. Candidates should consult with the College Dean and/or colleagues if they have questions regarding how to construct the three narratives.

3. Student Evaluations of Teaching Effectiveness (SETEs)

Candidates should prepare a summary report for each year of the Student Evaluations of Teaching Effectiveness (SETEs), inclusive of all courses taught during that year (fall, spring, summer). These reports should be numeric, but candidates may choose to upload the open-ended student comments as supplementary material to support their teaching effectiveness. In addition to written comments, candidates should also include other supplementary materials related to teaching such as:

- a. Teaching awards and recognition, peer evaluations of teaching effectiveness, evidence of professional development in teaching, evidence of disciplinary or interdisciplinary program or curricular development, alumni surveys and student exit interviews, evaluations by recent graduates, and other evidence of excellence in teaching or mentoring.
- b. Although not formally considered teaching, supervision of master's theses/projects and doctoral dissertations can be considered (include the student name, project title, and year of thesis/project defense).
- c. Note that the only piece of evidence that is compulsory is the SETE summary using the currently approved format.

4. Service Specific Materials

The candidate should submit all materials outlined within the service narrative that demonstrate evidence of collegiality and service to the College (including administrative responsibilities such as Program Director, Unit Coordinator, Internship Coordinator, Graduate Studies Coordinator), university, profession, and various communities. Activities thought to be "engaged scholarship/research" under the university definitions may be included here (likely as supplemental materials). Service is a term encompassing a faculty member's activities in three areas:

1. Outreach or public services: The public service function of The University of Memphis is the university's outreach to the community and the society at large, with major emphasis on the application of knowledge for the solution of problems with which society is confronted. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the university. A vital component of the University's mission, public service must be performed at the same high levels of quality, which characterize the teaching and research programs. Evidence of service to the community, state, or nation may be available to the committee via official documents such as "thank you" letters and other forms of formal acknowledgment. Other forms of outreach or public service may involve an invited interview or talk to discuss how information obtained through faculty research may be applied in a real-world setting or the writing of lay press articles for the masses (specific to a candidate's area of expertise).
2. Institutional service: Institutional service refers to work other than teaching and scholarship conducted at the College or university level. A certain amount of such service is expected of every faculty member. It is not limited to serving on College committees, advising/mentoring students, and participating in university committees. Academic advising and mentoring of both undergraduate and graduate students are important aspects of citizenship and are considered in faculty evaluations. Some faculty members

may accept more extensive citizenship functions, such as serving as a unit coordinator, a graduate coordinator, a leadership role in the Faculty Senate, membership on a specially appointed task force, advisor to a university-wide student organization, and membership on a university search committee.

3. Professional service: Professional service refers to the work done for organizations related to one's discipline or to the profession generally. Service to the profession includes association leadership, journal editorships, article and grant proposal review, guest lecturing on other campuses, and other appropriate activities. While it is impossible to define the exact nature of significant professional service, clearly more is required than organizational membership and attendance. Examples of significant service would be that done by an officer of a professional organization or a member of the editorial staff of a journal. Candidates should name and describe in detail their participation in professional activities. In addition, concrete evidence must be submitted to substantiate such claims. Following are some examples of activities and roles for which credit may be claimed:
 - a. Consultation to various institutions and agencies as permitted by university guidelines; invited talks, speeches, panels, and symposia for professional groups; Leadership roles in professional organizations (mere attendance of meetings and dues payment do not qualify); committee leadership roles dealing with professional affairs; serving as an associate editor or senior editor of a professional journal; serving as a grant reviewer for a professional or governmental organization.

Requirements for Promotion and Tenure

There are university-wide directives that apply to the process of tenure and/or promotion. Candidates are advised to review the most recent *Faculty Handbook*. In general, the candidate must be judged to show promise as a contributing member to his/her academic discipline and to the College.

For all candidates, consideration will be given to their overall performance in the areas of research, teaching, and service. While work done prior to the time at which the candidate began their employment at The University of Memphis will be considered in the overall evaluation, work done since arriving at The University of Memphis will be viewed as being far more important. Specific to this statement, candidates must demonstrate continued productivity and excellence, as outlined briefly below.

Regarding teaching and service responsibilities, most candidates understand that regular performance at a rating of "very good" or "exceptional" is expected. This includes SETE scores that meet or exceed College means, positive student comments, few or no student complaints, and regular service provided to the College, university, community, and profession. Much information is included regarding both teaching and service expectations within the *Faculty Handbook*. Questions regarding expectations for teaching and service should be directed to the College Dean.

Most faculty members have specific questions pertaining to research expectations. For this reason, the information below has been included for review.

Research/Scholarship: The candidate should understand that university guidelines highlight the importance of success in research. The publication of research in refereed journals or media of similar quality may be considered a reliable indication of scholarly ability. In addition, evidence for potential of national recognition is considered highly important in evaluating scholarship for promotion to Associate Professor; Evidence of national recognition is considered highly important in evaluating scholarship for promotion to Professor. Moreover, external reviewers are asked to evaluate a candidate's scholarly productivity and comment on both the quantity and quality of research performed. Specifically, *"How do you assess the quality of the scholarly and/or creative activity of the candidate?"*

With the above in mind, it is imperative that candidates establish a focused line of research that leads to significant peer-reviewed publications of high quality. In addition, all candidates within CHS, regardless of discipline should regularly (i.e., annually) attempt to secure external funding to support their research work. While it is hoped that candidates for promotion to Associate Professor with tenure would have been successful in receiving external funding by the time of application, it is expected that a successful candidate for promotion to Professor would have met this standard on more than one occasion by the time of application. While this should be understood, successfully obtaining external funding is not an absolute requirement for promotion; however, it will be strongly considered as part of the candidate review process.

The following are examples of evidence of research productivity:

1. Peer-reviewed manuscripts (original investigations)
2. Peer-reviewed manuscripts (meta-analyses)
3. Peer-reviewed manuscripts (review articles)
4. Invited peer-reviewed book chapter*
5. Invited non-peer-reviewed book chapter
6. Published book (within the research area of expertise)
7. Externally funded grants and contracts
8. Externally submitted (unfunded) grants and contracts
9. Internally funded grants and contracts
10. Internally submitted (unfunded) grants and contracts
11. Conference presentation (lecture)
12. Conference abstract presentation (oral or poster)
13. Technical report (this might also fall under the category of service)
14. Non-peer-reviewed manuscripts (this might also fall under the category of service)
15. Editing of a book in the area of expertise (this might also fall under the category of service)
16. Published book review (this might also fall under the category of service)
17. Intellectual Property and products of commercial value
 - a. Patents [and provisional patents] and licensed intellectual properties may be valued equally with peer-reviewed journals of the highest quality and/or grants of significant size and scope

*The invitation to contribute a book chapter within the area of expertise is one indication of the potential for national recognition; it would be expected that a candidate for promotion to Professor would have contributed at least one invited book chapter in their area of research expertise.

It should be noted that neither The University of Memphis *Faculty Handbook* nor this document provides firm numbers related to the above (i.e., peer-reviewed manuscripts in particular). The College Dean will provide guidance on expectations for the quantity of scholarly productivity for faculty members working in CHS. If at any time questions arise regarding this important issue, faculty members should speak to the College Dean in order to receive clarification. The sheer *quantity* of research publications and external grants is not the only consideration regarding scholarly productivity. Other items must be considered, including the overall *quality* of the work performed. Indeed, when making a recommendation for or against tenure and/or promotion, the reviewers and committees should consider both the quality and quantity of research, as well as teaching and service. The below text provides some information for consideration.

1. Peer-reviewed manuscripts and book chapters: Candidates should strive to be Principal Investigator and lead author on a large portion of their research work. Having lead or corresponding author distinction indicates that the work was likely the candidate's own work—conceived by the candidate with he/she being primarily responsible for seeing the work through to completion.
 - a. Candidates should aim to have most of their published work within their direct field of expertise. Being a co-author on multiple peer-reviewed publications that have little relevance to the candidate's stated line of research may be of concern to external reviewers and reviewers at the university.
 - b. In considering research and publications, quality of production will be greatly considered. For example, impact factors, journal acceptance rates, and other indices that indicate quality will be reviewed. Articles in national or international refereed periodicals in the area of specialization will be given much greater weight than articles in regional refereed periodicals, and certainly non-refereed journals.
2. Conference presentations and abstract presentations should be a regular part of a candidate's research program (i.e., annually).
3. Grant writing and submission (to external funding sources) should be a regular part of a candidate's research program (i.e., annually).

In addition to meeting the general guidelines above, candidates should keep in mind the following, as applied to the promotion to Associate Professor or Professor:

Associate Professor: Potential for (i.e., leading to) national recognition in a specific discipline—following a focused line of research; active involvement toward securing external funding; noteworthy professional leadership contributions

Professor: National recognition in a specific discipline—following a focused line of research; substantial contributions made to advance the field of study; substantial peer-reviewed

publications and presentations; success toward securing external funding; a record of professional leadership activity

Collegiality

Aside from the three main focal areas of research, teaching, and service, collegiality also needs to be considered. The Tennessee Board of Regents defines collegiality as “Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and academic organizational unit.” Although evidence relating to collegiality will be most evident in the category of service, collegiality (or the lack of it) can also impact performance in research and teaching. Collegiality is not separate; collegiality enhances performance in each of these areas. Because the College values teamwork, evidence of collegiality plays a role in faculty evaluation. The collegiality of the faculty member should be considered in all promotion and tenure decisions. However, collegiality should not be considered as a separate evaluative criterion; rather, it should be considered in the context of the candidate's research/scholarship, teaching, and service/outreach.

External Peer Review Policy

All tenure-track and research faculty candidates will be reviewed by external peers who have known expertise in the candidate's specific area of study. The College Dean will request that candidates provide the names, contact information, and other pertinent information of five potential external reviewers (See Appendix A for example). No more than one external reviewer can be a past mentor or collaborator. The candidate may also submit a list (with justifications) of persons who may pose a conflict for consideration. The College Dean may ask that the P&T committee provide the names (and all supporting information) for additional reviewers. The College Dean may generate additional names to add to the list. The Dean must select at least one of the names suggested by the candidate. The Dean will then contact at least five potential external reviewers regarding their interest in performing a review of the candidate's materials. Ideally, at least four external reviewers will agree to conduct the review. The College Dean will contact additional individuals as needed, to receive an adequate number of reviews.

Reviewers should be chosen based on their scholarly contributions directly within the candidate's area of research expertise. They should be employed in a higher education setting at least comparable to The University of Memphis (i.e., peer institution or higher). They should also hold the same rank (or higher) as the rank the candidate aspires to. For example, Professors should review applicants for promotion to professor.

Every effort will be made to minimize biases for or against the candidate when selecting qualified reviewers. The external reviewers are expected to provide informed, objective evaluations rather than testimonials. The College Dean will provide a detailed letter outlining the responsibilities of the external reviewers, asking them to provide a written assessment of the candidate's scholarly activity. A copy of the candidate's CV, narratives, and representative samples of the candidate's publications (chosen by the candidate) will be available for review online. The reviewers will also be provided with the P&T guidelines of the College, as well as The University of Memphis *Faculty Handbook*. Each external reviewer will receive the same

materials. The external reviewers' letters of assessment will be included as part of the candidate's professional portfolio at all levels of university consideration.

Report to the Faculty

Promotion and tenure decisions of the College committee and the College Dean will be uploaded to the candidate's folder for subsequent review by the provost. All other candidate materials will accompany these decisions. The candidate should be notified of the results of the outcome of the committee's vote and the Dean's vote regarding the individual's application for promotion.

When the College Dean meets with the candidate being considered for promotion and tenure, the conversation should be restricted to the recommendations that have been made but should not, at this time, address the reasons for the recommendations. In promotional situations that do not involve tenure, the College Dean is free to discuss reasons for recommendations. Application for promotion may be withdrawn at this point. The College Dean should notify the candidates of the voting recommendations of the College at the time of submitting documents to the provost.

Promotion of Research Faculty, Clinical Faculty, and Teaching Faculty

Faculty members with appointments as Research Assistant or Associate Professors or Clinical Assistant or Associate Professors may be promoted to a higher rank as indicated in The University of Memphis *Faculty Handbook*. Faculty members with appointments as an Assistant Professor of Teaching may be promoted to Associate Professor of Teaching, and eventually to Professor of Teaching, as indicated in The University of Memphis *Faculty Handbook*. However, research faculty, clinical faculty, or teaching faculty may not be granted tenure. The process will be very similar to that described above for tenure-track faculty members. However, Clinical faculty and teaching faculty will not need to undergo external peer review. Requirements for the various ranks are described in The University of Memphis *Faculty Handbook*, with an expectation of five years of service at the existing rank prior to being promoted (similar to a tenure-track position).

In general, research faculty are evaluated primarily on their ability to excel in scholarly research activities. In this way, scholarship (e.g., completed research projects, manuscripts, book chapters, books, external grants, internal grants, scientific advancements) will be the primary consideration for promoting research faculty. Teaching and service activities will also be considered.

Clinical faculty responsibilities depend upon the position but may include teaching, student supervision, research, and/or management of academic programs, centers, or laboratories. The promotion of clinical faculty is based upon their performance in a specified role.

Although service and/or research expectations may exist, the primary function of teaching faculty is to teach courses. Therefore, the promotion is almost exclusively based on teaching performance. Performance, in this case, is based on the delivery of content, the management of courses and students, and the level of unique expertise possessed by the instructor. The SETE forms will be largely considered in the evaluation.

Research Faculty

Promotion to Research Associate Professor

Candidates must satisfy the following requirements:

1. At least five years of full-time (or full-time equivalent) research experience post-graduation, with a minimum of five years at the University of Memphis as a Research Assistant Professor.
2. Strong evidence of collegiality, good character, mature attitude, and stable personality.

Criteria for Promotion Recommendations

1. *Evidence of research effectiveness.* This area includes materials indicating research expertise supporting at least one academic program within the College. Suggested supportive items may include the following:
 - Documented evidence of continuing education.
 - Evidence of classes audited or formally completed.
 - Evidence of formal or informal internships expanding relevant research capabilities.
 - Specialty certification or recognition.
 - Articles written and published in academic outlets.
 - Internal support sought.
 - Internal support obtained.
 - External support sought.
 - External support obtained.
 - Research presentations delivered.
 - Training of staff and students on laboratory techniques and data collection/analysis.
 - Research projects completed.
2. *Evidence of service of a professional nature to the institution, the community, and the state,* that may include:
 - Centers or laboratories started and/or managed.
 - Updates to existing centers or laboratories.
 - Participation in College and university committees.
 - Contracts for the provision of services outside the College resulting in indirect cost recovery.
 - Membership and leadership roles in professional organizations at local, state, national, or international levels.
 - Service or outreach to the larger society. For example, presentations related to one's discipline or providing professional advice and counsel.

Promotion to Research Professor

The candidate must satisfy the following requirements:

1. At least 10 years of full-time (or full-time equivalent) research experience post-graduation, with a minimum of five years at the University of Memphis as a Research Associate Professor.
2. Strong evidence of collegiality, good character, mature attitude, and stable personality.

Criteria for Promotion Recommendations

The rank of Research Professor is not a reward for long service. This rank should be granted to those with a record of consistent, sustained, high-quality research productivity over a period of many years. The rank is a recognition that such superior achievement in the field of study will continue at a national and/or international level.

The criteria for promotion to Research Professor incorporate the above criteria for promotion to Research Associate Professor, with the following additions.

1. *Documented evidence of a consistent pattern of high-quality professional productivity.*
This should be illustrative of professional productivity at regular intervals over a period of many years (i.e., several published peer-reviewed manuscripts/books chapters each year).
2. *Evidence of national and/or international recognition in the discipline.* Such evidence may be indicated by, for example,
 - Invited papers and presentations given beyond the state and region.
 - Honors and awards.
 - Committee service and leadership with national or international professional organizations.

Clinical Faculty

Promotion to Clinical Associate Professor

Candidates must satisfy the following requirements:

1. At least five years of full-time (or full-time equivalent) clinical experience post-graduation, with a minimum of five years at the University of Memphis as a Clinical Assistant Professor.
2. Strong evidence of collegiality, good character, mature attitude, and stable personality.

Criteria for Promotion Recommendations

1. *Evidence of teaching effectiveness in clinical instruction.* This area includes materials indicating command of the academic and clinical subject matter, the ability to motivate and mentor students, and creative and effective use of teaching methods. The student evaluations and comments will provide evidence for the above, in addition to peer reviews and other supportive items that may include the following:
 - Documented evidence of continuing education.
 - Evidence of classes audited or formally completed.
 - Articles written and published in academic outlets.
 - Diary of activities followed to update the knowledge base in a particular specialty.
 - Tutorial tools developed by the clinical faculty member to assist student learning.
 - Training packets developed by the clinical faculty member for use in instruction.
 - Specialty certification or recognition.
2. *Evidence of service of a professional nature to the institution, the community, and the state,* that may include:
 - Participation in College and university committees.
 - Contracts for the provision of services outside the College.
 - Membership and leadership roles in professional organizations at local, state, national, or international levels.

- Service or outreach to the larger society. For example, presentations related to one's discipline or providing professional advice and counsel.

Promotion to Clinical Professor

The candidate must satisfy the following requirements:

1. At least 10 years of full-time (or full-time equivalent) professional experience in the clinical discipline post-graduation, with a minimum of five years at the University of Memphis as a Clinical Associate Professor.
2. Strong evidence of collegiality, good character, mature attitude, and stable personality.

Criteria for Promotion Recommendations

The rank of Clinical Professor is not a reward for long service. This rank should be granted to those with a record of consistent, sustained, high-quality teaching and service productivity over a period of many years. The rank is a recognition that such superior achievement in the field of study will continue at a national and/or international level.

The criteria for promotion to Clinical Professor incorporate the above criteria for promotion to Clinical Associate Professor, with the following additions.

1. *Documented evidence of a consistent pattern of high-quality professional productivity.*
This should be illustrative of professional productivity at regular intervals over a period of many years.
2. *Evidence of national and/or international recognition in the discipline.* Such evidence may be indicated by, for example,
 - Invited papers and presentations given beyond the state and region.
 - Honors and awards.
 - Committee service and leadership with national or international professional organizations.

Teaching Faculty

Promotion to Associate Professor of Teaching

Candidates must satisfy the following requirements:

1. At least five years of full-time (or full-time equivalent) teaching experience at the University of Memphis as an Assistant Professor of Teaching.
2. Teaching expertise matches the need for instructors in a CHS program.
3. Strong evidence of collegiality, good character, mature attitude, and stable personality.

Criteria for Promotion Recommendations

1. *Evidence of teaching effectiveness in a higher education setting. (The most important consideration for promotion)* This area includes materials indicating command of the academic subject matter, the ability to motivate and mentor students, and the creative and effective use of teaching methods. Student evaluations/comments and peer review will provide evidence for the above, as well as any of the following supportive items:
 - Documented evidence of continuing education.
 - Evidence of classes audited or formally completed.
 - Articles written and published in academic outlets.

- Diary of activities followed to update the knowledge base in a particular specialty.
 - Tutorial tools developed by the faculty member to assist student learning.
 - Training packets developed by the faculty member for use in instruction.
 - Specialty certification or recognition.
2. *Evidence of service of a professional nature to the institution, the community, and the state, that may include:*
- Participation in College and university committees.
 - Contracts for the provision of services outside the College.
 - Membership and leadership roles in professional organizations at local, state, national, or international levels.
 - Service or outreach to the larger society. For example, presentations related to one's discipline or providing professional advice and counsel.

Promotion to Professor of Teaching

The candidate must satisfy the following requirements:

1. At least 10 years of full-time (or full-time equivalent) teaching experience post-graduation within the discipline, with a minimum of five years at the University of Memphis in the role of Associate Professor of Teaching.
2. Teaching expertise matches the need for instructors in a CHS program.
3. Strong evidence of collegiality, good character, mature attitude, and stable personality.

Criteria for Promotion Recommendations

The rank of Professor of Teaching is not a reward for long service. The rank of Professor of Teaching should be granted to those with a record of consistent, sustained, high-quality teaching and service productivity over a period of many years. The rank is a recognition that such superior achievement in the field of study will continue.

The criteria for promotion to Professor of Teaching incorporate the above criteria for promotion to Associate Professor of Teaching with the following additions.

1. *Documented evidence of a consistent pattern of high-quality professional productivity.* This should be illustrative of professional productivity at regular intervals over a period of many years. This will include development and teaching of new courses.
2. *Evidence of national and/or international recognition in the discipline.* Such evidence may be indicated by, for example,
 - Invited papers and presentations given beyond the state and region
 - Honors and awards
 - Committee service and leadership with national or international professional organizations

Mid-Tenure (Third Year) Review of Probationary Faculty

The third-year review, completed by the College P&T committee and the College Dean, constitutes an important part of the documentation examined in the P&T review process for untenured faculty. This review, performed at the conclusion of the third year or at the mid-point toward tenure, is completed in a similar manner as the P&T process described above. However, no external reviewers are involved.

As stated above, the procedure for the mid-tenure review should be the same as that used by the College for promotion and tenure review. Deliberations and discussions of candidate materials will take place in committee meetings. Each candidate's accomplishments should be evaluated with respect to both quantity and quality within the context of the candidate's roles and responsibilities. The format for uploading all materials to the candidate folder can be provided by the College Dean or an assistant. The timeline is generally as follows:

1. The College Dean will request that candidates upload all needed materials for review to the online folder.
 - a. *When: January*
2. Candidates will prepare and upload all needed materials for review to the online folder by the stated deadline.
 - a. *When: February*
3. The College Dean will submit the names of faculty members to be reviewed to the College P&T committee chair.
 - a. *When: January/February*
4. The College committee will review candidate materials independently over a period of 2-3 weeks. They will then meet collectively to discuss each candidate and to comment on strengths and weaknesses.
 - a. *When: February/March*
5. The College P&T committee chair will draft a letter outlining the strengths and weaknesses of the candidate and submit it to the committee for review. Once finalized, the committee chair will submit a signed electronic copy of the letter to the College Dean.
 - a. *When: March*
6. The College Dean will review the committee recommendations, in addition to all candidate materials, and write a letter commenting on the strengths and weaknesses of the candidate. The College Dean will then meet with the candidate to discuss the letters of the committee and Dean.
 - a. *When: March/April*
7. The letters will become a part of the candidate's file.
 - a. *When: March/April*
8. The candidate will have an opportunity to respond in writing to anything stated in the committee and/or Dean letters. In particular, the candidate may choose to correct something that may have been stated in one of the letters that was inaccurate. The candidate letter should be submitted directly to the College Dean and it will become a part of the candidate's file.
 - a. *When: March/April*

Review and Revision of CHS Promotion and Tenure Policy and Procedures

The College Dean, in conjunction with the promotion and tenure committee, will assume responsibility for reviewing these guidelines annually and making changes as necessary.

Appendix A

Example External Reviewer Biography

Mary Joe X, PhD

Professor

Department of Kinesiology and Health Sciences

Any College USA

University Hall 101

Phone:

Fax:

Email:

Education

PhD Exercise Science, University of Connecticut, 1988

MS Physiology, University of California Los Angeles, 1983

BS Biology, University of Memphis, 1978

Specialization

Physiology; specific focus in cell signaling

Scholarship Record

Dr. X has over 90 peer-reviewed publications, in addition to 12 book chapters, and over 150 abstract presentations. She has secured over 3 million dollars in external funding to support her research work.

Director of the following laboratories:

Cell Signaling and Biochemistry Laboratory: This laboratory focuses on the insulin cell signaling related to glucose transport within skeletal muscle; studies are conducted at the cellular level, particularly in response to increased or decreased physical activity.

Physical Activity and Aging Laboratory: Research in this laboratory is focused on investigating the effects of physical activity on skeletal muscle aging and muscle wasting, as related to insulin sensitivity; the impact of acute and chronic exercise is investigated using both humans and animal models.

Affiliation with Candidate

Candidate knows Dr. X from professional meetings and has read her research work. They have never collaborated on research studies.