

KEMMONS WILSON SCHOOL

**Tenure and Promotion Policy and Procedures**

2018-2019

## **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 in a collegiate community and at an acceptable level as long as the position is retained (i.e., needed based on the academic mission and financial security of the department). 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 research, teaching, and service merits the academic reward of promotion in rank. Different academic ranks (i.e., assistant, associate, and full professor) imply different levels of expectation in responsibility and achievement.

The general policies on tenure and promotion (T&P) of The University of Memphis and the Kemmons Wilson School (KWS) furnish the base upon which the committee determines its criteria for T&P. Copies of both the university and the school guidelines are distributed to KWS faculty members and are available from the KWS director upon request. Questions relating to the policies and the criteria, or to any interpretation thereof, should be submitted to the director.

## **Committee on Tenure and Promotion**

The school committee on T&P will function and proceed as follows:

1. The committee will be comprised of full-time tenured associate and/or full professors. All tenured faculty from KWS may sit on the school committee. All committee members are eligible to vote for candidates seeking tenure and/or promotion to the rank of associate professor; all committee members are eligible to vote for candidates seeking tenure only. For consideration of promotion to full professor, a subcommittee consisting of all tenured full professors will make the recommendations.
  - a. A candidate going for promotion to full professor will follow the same guidelines provided above.
2. Faculty members seeking tenure or promotion are ineligible to serve on the committee.
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 school faculty. 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 director may be present at this meeting.
  - a. Although not required, it is ideal for the committee chair to hold the rank of full professor, so that he/she can participate in all voting (i.e., candidates applying for the rank of either associate professor or full 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 must be by secret ballot. Committee members must be present to vote. The committee chair will tally votes and retain the ballots. The committee chair will transfer vote counts to a master form (recommendation form), which will be included in the candidate's T&P file and retained by the director.

## **Responsibilities of the KWS Tenure and Promotion Committee**

Committee responsibilities are four-fold:

1. Evaluate candidates eligible for tenure and/or promotion and make recommendations to the school director (via the T&P committee chair).
2. Evaluate and advise new, untenured faculty at the conclusion of the first three years (mid-tenure review).
3. Advise the school director, 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 T&P 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 quantity of peer-reviewed articles, external grants and contracts submitted, the total dollar amount of external support, 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 (if such data are available), citation index (if such data are available), and journal acceptance rates may provide some guidance when assessing over quality.

With regards to teaching effectiveness, student evaluations (both numeric and written: SETEs—as described below within this document) are the main piece of data used in evaluation. Formal peer-reviews of faculty teaching effectiveness, as well as anecdotal comments provided by peers and students may be considered as well. 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.

With regards to service, a wide variety of activities may be considered in evaluating faculty members. These include service responsibilities within the school and university, as well as within the profession. Some examples include committee work, manuscript reviews, journal editorial board positions, laboratory or facility directorship, and presentations provided to and articles written for the general public pertaining to a faculty member's area of expertise.

External professionals, who agree to assess the candidate's research and scholarly activity, should provide qualitative judgments. These written assessments are solicited by the school director and reviewed by the T&P committee (see External Peer Review Policy). When assessing the candidate, it is the committee's responsibility to give consideration to all of the following:

1. The candidate's entire online "portfolio" or "dossier."
2. How well the candidate has performed on annual evaluations.
3. Whether or not the candidate is actively developing (associate professor) or has successfully developed (full professor) a focused line of research, to be viewed as having potential for national/international recognition (associate professor) or currently having national/international recognition (full professor) in his/her area of expertise.
4. Whether or not the candidate has made necessary improvements (if applicable) as suggested by the department chair in written format (i.e., annual evaluations, mid-tenure review), with regards to their research, teaching, and/or service responsibilities.
5. Whether or not the candidate's performance aligns with departmental goals, needs, and future directions.
6. 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 tenured 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 informed and appropriate decision can be made with regards to the candidate application.

## **Eligibility for Tenure and Promotion**

A faculty member with the rank of assistant professor or higher who has completed a five-year probationary period (unless the appointment contract for the candidate states differently or otherwise prescribed in writing and approved by the director and provost) must make application for tenure. Absent an exception approved by the director, provost, and president, application for tenure must be reviewed in the fall semester of the sixth year (NOTE: The candidate will actually begin the process during the spring semester of their fifth year, as indicated below in T&P Timeline and Procedures).

Exceptions that may affect the length of the probationary period are addressed in the *Faculty Handbook* in the sections entitled “Credit for Prior Service,” “Credit for Administrative Position or Transfer,” “Extension of the Probationary Period,” “Stopping the Clock,” and “Leaves of Absence.”

Examples of personal circumstances that might support a request to extend the probationary period:

1. Because of pregnancy and childbirth.
2. Because of the placement of a child with the employee for adoption or foster care.
3. To provide primary care for a child within twelve months after birth or placement.
4. To care for a spouse, domestic partner, child, or parent who has a serious health condition.
5. Because of personal illness or injury.
6. Because of the death of a spouse, domestic partner, child, or parent.
7. Other suitable circumstances agreed upon by the faculty member and school director.

A request for extending the probationary period or filing for tenure during the probationary period should be filed by March 30 of the year the candidate will begin the T&P review process.

To receive tenure, a candidate must meet eligibility requirements for promotion to associate professor. This applies to candidates who are seeking both tenure and promotion simultaneously (which is most typical), or candidates who are seeking tenure alone (for those who entered at the rank of associate or full professor without tenure). Tenure applications receive one of two responses: tenure is granted; or tenure is denied. Re-application for tenure is not possible and the seventh year, or other final year following application for tenure, will be terminal if tenure is denied.

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

Faculty holding temporary appointments are not eligible for tenure. 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 those otherwise eligible for tenure and who also hold 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 full professor, rather than at the rank of assistant professor. In such 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 full professor.

### Promotion Only

Faculty members may apply for promotion to full professor whenever they believe they meet the established criteria. As per the *Faculty Handbook*, when applying for promotion to full professor a faculty member must have at least 10 years of relevant work experience outside of the time during which they completed their graduate school training. Faculty members should be well recognized in their specific area of expertise at the time of application, viewed as having national/international recognition and having contributed substantial research contributions to the specific field of study.

### T&P Timeline and Procedures

The following procedures should be followed, with few exceptions:

1. The school director will initiate the promotion to associate professor with tenure for eligible faculty in KWS. 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 full professor. However, such candidates will need to notify the school director prior to this time of their interest in applying for promotion.
  - a. The school director will supply candidates with copies of the school and university guidelines for T&P. These will typically be provided as electronic versions or website links for which the documents can be found.
  - b. The school director will request the names, contact information, and other pertinent information related to potential external reviewers (see External Peer Review Policy below).
  - c. The school director will request that candidates upload all needed materials for review to the online folder (NOTE: The link to the online folder will be provided by the assistant to the director).
    - i. When: The candidate will discuss with the director about timeline for submission based on the Provost calendar for that year. Although the timeline may vary slightly from year to year, the following provides a reasonable expectation:
      - 0 External Reviewer names and information: *1st week of August*
      - 1 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: *August 31<sup>st</sup>*
      - 2 Upload of ALL materials to be reviewed by department and college committees: *August 31<sup>st</sup>*
        - a. NOTE: The online folder will be shut off to candidates after the August 31<sup>st</sup> deadline
2. Candidates will prepare and upload all needed materials for review to the online folder by the stated deadlines.
3. The school director will submit the names of faculty members to be considered for tenure and/or promotion to the KWS T&P Committee chair.
  - i. When: *Early August*
4. The school director will contact potential external reviewers to solicit recommendations.
  - i. When: *Early September*
5. The school director will receive the external reviewer letters and upload these, in addition to all other required materials, to the candidate's folder.
  - i. When: *Early October*

6. The T&P 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 October*
7. The T&P committee chair will draft a letter outlining the strengths and weaknesses of the candidate and submit to the committee for review. Once finalized, the committee chair will submit a signed electronic copy of the letter to the school director. In addition to this letter, the committee chair will submit an electronic version of the completed T&P Recommendation Form.
  - i. When: *End of October*
8. The school director 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 materials as desired by director.
  - i. When: *Early November*
9. The provost will review the candidate materials and make a recommendation to the president. The president will make a recommendation to the University of Memphis Board (UofM Board). The candidate will be notified of the outcome.
  - i. When: *During the subsequent spring semester*
10. The candidate assumes the new rank (if tenure and/or promotion are approved).
  - i. When: *Start of the subsequent fall semester*
11. The school director 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 KWS T&P 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.
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 or full professor and/or promotion to the rank of full professor, each is performed separately.
5. Candidates receiving a majority of affirmative votes are recommended.

NOTE: All 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 decision to the director, 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 KWS’s mission and goals. Each candidate for tenure and/or promotion must present a dossier of materials according to current school and university policy—as indicated within The University of Memphis *Faculty Handbook*. That said, it should be noted that the school require that all candidate materials to be considered for T&P must be uploaded electronically to the candidate folder. No hard copy materials will be used in the review process, despite what may be stated in The University of Memphis *Faculty Handbook*.

The candidate should upload all materials to be reviewed by the committee (as well as by the director and provost) specific to the areas of (a) research (scholarship), (b) teaching, and (c) 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 school. The assistant to the director will set up an online folder for each candidate and provide the current required numbering system by which each document should be uploaded to the online folder. 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 T&P committee chair, school director, and/or tenured/promoted colleagues, particularly those who have previously completed the process and now serve on the T&P committee. Great care should be taken in the preparation of the materials.

Following the completion of review at the school level, candidate online folders are open for review by the provost. 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 school, nor should materials be modified after any noted deadline date. However, the T&P committee chair may request from the department chair 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 assistant to the director for a complete list of the current requirements for material upload (and numbering). For examples, items such as the initial appointment letter, annual evaluations, mid-tenure review letters, a curriculum vitae (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**

The CV should be current and include all relevant information up to the time that the candidate submits materials for external review (by August 31<sup>st</sup>). 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.

With regards to peer-reviewed publications (e.g., original manuscripts, review articles, book chapters), all of 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. If a candidate has other items they believe are important for consideration with regards to work quality, they are encouraged to include these under each manuscript listed on the CV. It is expected that a candidate for T&P be first/lead/corresponding author on a sizeable portion of publications on the CV. Following T&P, it is expected that faculty members will be first author on close to a majority of published articles.

1. Journal acceptance rate for manuscripts (if such data are available)
2. Journal impact factor
3. Article citation index
  - a. If data for impact factor and/or citation index are not available, the candidate should briefly describe

- the journal (i.e., target audience, type of publication, reputation within field of study). This is to provide the reviewers with a better understanding of the scholarly work and the outlet for sharing the information.
4. 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.

With regards to externally funded grants and contracts, all of the following must be provided directly under each grant/contract listed on the CV:

1. Candidate’s specific role in securing the funding (e.g., principal investigator, co-investigator, chief application writer, data technician, project coordinator, consultant, statistician, etc.)
2. The title of the project
3. The duration of the project
4. The total budget of the project (inclusive of all direct and indirect costs)
5. The university approved percent effort for the candidate during the time working on the grant/contract.
6. A statement related to how the funding is associated with the candidate’s specific line of research inquiry
  - a. 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 external grant/contract applications and 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, T&P committee members, and the director 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 candidates 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 school director /T&P Committee Chair 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 are 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 graduate theses/projects/dissertations, and supervision of undergraduate research 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 school (including administrative responsibilities such as Program Director, Internship Coordinator, Graduate Studies Coordinator, etc.), 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 society at large, with a 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 acknowledgement. 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 school or university level. A certain amount of such service is expected of every faculty member. It is not limited to serving on school committees, advising/mentoring students, and participating in university committees. Academic advising and/or mentoring of both undergraduate and graduate students is an important aspect of “college” citizenship and is taken into account 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; (b) invited talks, speeches, panels, and symposia for professional groups; (c) leadership roles in professional organizations (mere attendance of meetings and

dues payment do not qualify); (d) committee leadership roles dealing with professional affairs; (e) serving as an associate editor or senior editor of a professional journal; (f) serving as a grant reviewer for a professional or governmental organization.

### **Requirements for Tenure and Promotion**

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 school. For all candidates, consideration will be given to their overall performance in the areas of research, teaching, and service. It should be understood that 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.

With regards to teaching and service responsibilities, candidates understand that regular performance at a rating of “very good” or “exceptional” is expected. This in particular includes SETE scores that meet or exceed school means, positive student comments, few or no student complaints, and regular service provided to the school, 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 school director/T&P Committee Chair.

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. For example, it states within The University of Memphis Faculty Handbook that “The publication of research in refereed journals or media of similar quality is considered a reliable indication of scholarly ability” and “In most disciplines, evidence for potential of national recognition is considered the most important criterion in evaluating scholarship for promotion to associate professor; Evidence of national recognition is considered the most important criterion 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, the university asks that external reviewers answer the following question: “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 KWS, regardless of discipline, should regularly attempt to secure external funding to support their research work. While it is hoped that candidates for the 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 full professor would have met this standard on more than one occasion by the time of application. While this should be understood, successful obtainment of 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. Peer-reviewed book chapter

5. Invited peer-reviewed book chapter\*
6. Invited non-peer-reviewed book chapter
7. Published book (within research area of expertise)
8. Externally funded grants and contracts
9. Externally submitted (unfunded) grants and contracts
10. Internally funded grants and contracts
11. Internally submitted (unfunded) grants and contracts
12. Conference presentation (lecture, oral, or poster)\*
13. Non-peer-reviewed manuscripts (this might also fall under the category of service)
14. Intellectual Property and products of commercial value
  - a. Patents (or provisional patents) and licensed intellectual property may be valued equally with peer-reviewed journals of highest quality and/or grants of significant size and scope.

NOTE: The invitation to contribute a book chapter within the area of expertise is one indication of potential for national recognition.

NOTE: Publications submitted as part of a candidate's Tenure and Promotion portfolio may be verified by the committee and committee chair. Regarding publications appearing in open access journals, this is left to the discretion of the candidate if she/he would like to pay to provide others with access to their article. Addressing publications that appear in 'for pay' or 'predatory' journal outlets, these will be verified by the committee chair and the committee reserves the right to make final determination regarding the acceptance of such articles toward requirements of Tenure and Promotion. While no formal policy is in place, candidates are advised not to publish in such journals. For more information or questions, please visit [www.predatoryjournals.com](http://www.predatoryjournals.com) for a list of journals, publishers, and indices or ask the committee/committee chair.

NOTE: Presentations may be subject to verification by the committee chair and committee (presentations at private conferences or invited presentations included).

It should be noted that neither The University of Memphis *Faculty Handbook* nor this document provide firm numbers related to the above (i.e., peer-reviewed manuscripts in particular). The school director will provide guidance on expectations for quantity of scholarly productivity for faculty members working in KWS. If at any time questions arise regarding this important issue, faculty members should speak to the school director in order to receive clarification. It should be understood that sheer quantity of research publications and external grants is not the only consideration with regards to 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 Principle Investigator and lead author on a 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 the vast majority of their published work related to their stated research line.
  - b. In considering research and publications, quality of production will be greatly considered. For example, impact factors, citation indices, journal acceptance rates, and other measures 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., provided annually).
  3. Grant writing and submission (in particular to external funding sources) should be a regular part of a candidate's research program.

In addition to meeting the general guidelines above, candidates should keep in mind the following as applied to the promotion to associate or full professor.

**Associate Professor.** Potential for national/international recognition in a specific discipline—following a focused line of research; noteworthy professional leadership contributions.

**Full Professor.** National/International 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; active involvement 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 UofM Board 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 KWS values teamwork, evidence of collegiality plays a role in faculty evaluation. The collegiality of the faculty member should be considered in all tenure and promotion 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 candidates will be reviewed by external peers who have known expertise in the candidate's specific area of study. The school director 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 co-author or dissertation committee member. The candidate may also submit a list (with justifications) of persons who may pose a conflict for consideration by the school director and the KWS T&P committee. The school director may ask that the KWS T&P committee provide the names (and all supporting information) for two additional reviewers. The school director will generate additional names to add to the list. The school director must select at least two of the names suggested by the candidate. The school director will then contact at least five potential external reviewers regarding their interest in performing a review of the candidate's materials. Ideally, at least three external reviewers will agree to conduct the review. The school director will contact additional individuals as needed in an attempt to receive adequate 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, full professors should review applicants for promotion to full 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 school director 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 T&P guidelines of the school and the college, as well as The University of Memphis *Faculty Handbook*. Each external reviewer will receive exactly 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**

Tenure and promotion decisions of the KWS T&P committee and the school director 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 director's vote with regard to the individual's application for promotion. When the director meets with the candidate being considered for tenure and promotion, 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 director is free to discuss reasons for recommendations.

### **Promotion of Clinical and Research Faculty**

Faculty members with appointments as clinical assistant or associate professors may be promoted to a higher rank as indicated in The University of Memphis *Faculty Handbook*; however, they may not be granted tenure. The process will be similar to that described above for tenure-track faculty members.

### **Mid-Tenure (Third Year) Review of Probationary Faculty**

Mid-tenure review, completed by the KWS T&P committee and school director, constitutes an important part of the documentation examined in the T&P 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 T&P process described above. However, no external reviewers are involved and the process typically ends at the level of the school director.

As stated above, the procedure for mid-tenure review should be the same as that used by the school for tenure and promotion review. Deliberations and discussions of candidate materials will take place among the KWS T&P committee members. 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 assistant to the school director. The timeline is generally as follows:

1. The school director will request that candidates upload all needed materials for review to the online folder.
  - i. When: *Prior fall semester*
2. Candidates will prepare and upload all needed materials for review to the online folder by the stated deadline.
  - i. When: *Mid January*
2. The school director will submit the names of faculty members to be reviewed to the T&P committee chair.
  - i. When: *Mid January*
3. The T&P 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.

- i. When: *January/February*
4. The T&P committee chair will draft a letter outlining the strengths and weaknesses of the candidate and submit to the committee for review. Once finalized, the committee chair will submit a signed electronic copy of the letter to the school director.
  - i. When: *Mid February*
5. The school director will review the committee's recommendations, in addition to all candidate materials, and write a letter commenting on strengths and weaknesses of the candidate. The school director will then meet with the candidate to discuss the letters of the committee and school director.
  - i. When: *February*
6. The candidate will have an opportunity to respond in writing to anything stated in the committee and/or school director 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 school director, and it will become a part of the candidate's file.
  - i. When: *Early March*

### **Evaluation and Promotion of Instructor Faculty**

Requirements and evaluation of Instructor Faculty will be governed by the university document.

### **Review and Revision of KWS Tenure and Promotion Policy and Procedures**

The school dean, in conjunction with the T&P committee, will assume responsibility for reviewing these guidelines annually and making changes as necessary.

APPENDIX A

**Example External Reviewer Biography**

Mary Joe X, Ph.D.  
Professor  
School of Hospitality, Resort, and Sport Management  
Any College USA  
University Hall 101  
Phone:  
Email:  
Fax:

**Education**

Ph.D. Sport Management, Texas A&M University, 1988  
M.S. Economics, University of Texas, 1983  
B.S. Finance, Louisiana State University, 1978

**Specialization**

Management | Specifically, the study of macro organizational behavior in multiple sport contexts.

**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 \$1 million in external funding to support her research.

**Affiliation with Candidate**

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