

**GUIDELINES AND PROCEDURES  
FOR CONDUCTING  
ANNUAL FACULTY EVALUATIONS,  
MID-TENURE REVIEWS,  
AND TENURE AND PROMOTION**

***Department of Psychology  
The University of Memphis***

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**TABLE OF CONTENTS**

<b>I. OVERVIEW .....</b>	<b>4</b>
<b>A. DEPARTMENTAL MISSION AND PHILOSOPHY .....</b>	<b>4</b>
<b>B. GUIDELINES.....</b>	<b>7</b>
<b>1. TEACHING AND MENTORING (TEACHING).....</b>	<b>8</b>
<b>2. RESEARCH AND SCHOLARLY/CREATIVE ACTIVITIES (SCHOLARSHIP).....</b>	<b>10</b>
<b>3. PROFESSIONALLY RELATED SERVICE (SERVICE).....</b>	<b>12</b>
<b>4. OTHER FACTORS FOR CONSIDERATION (COLLEGIALITY/CITIZENSHIP) .....</b>	<b>14</b>
<b>5. INTERDISCIPLINARY FACULTY .....</b>	<b>16</b>
<b>II. ANNUAL REVIEWS AND EVALUATIONS .....</b>	<b>17</b>
<b>A. PROCEDURES .....</b>	<b>18</b>
<b>B. CRITERIA TO BE CONSIDERED IN FACULTY EVALUATIONS .....</b>	<b>20</b>
<b>C. FACULTY SELF-EVALUATION OUTLINE .....</b>	<b>23</b>
<b>III. MID-TENURE REVIEWS .....</b>	<b>25</b>
<b>IV. CRITERIA FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR....</b>	<b>26</b>
<b>V. CRITERIA FOR PROMOTION TO PROFESSOR.....</b>	<b>27</b>
<b>VI. CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR OF TEACHING ..</b>	<b>28</b>
<b>VII. CRITERIA FOR PROMOTION TO PROFESSOR OF TEACHING.....</b>	<b>29</b>
<b>VIII. APPLICATION PROCESS .....</b>	<b>30</b>
<b>A. DECLARATION OF CANDIDACY .....</b>	<b>30</b>
<b>B. CANDIDATES' SUBCOMMITTEES AND DOSSIERS .....</b>	<b>30</b>

<b>IX. COMPOSITION AND FUNCTIONING OF DEPARTMENT COMMITTEE .....</b>	<b>33</b>
<b>A. COMPOSITION .....</b>	<b>33</b>
<b>B. T&amp;P COMMITTEE CHAIR SELECTION.....</b>	<b>34</b>
<b>C. T &amp; P COMMITTEE MEETINGS AND VOTING PROCEDURES.....</b>	<b>34</b>
<b>D. T &amp; P COMMITTEE AND DEPARTMENT CHAIR REPORTS .....</b>	<b>35</b>
<b>X. MODIFICATION OF T&amp;P GUIDELINES.....</b>	<b>36</b>
<b>XI. FLOWCHART .....</b>	<b>37</b>

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**I. OVERVIEW**

**A. DEPARTMENTAL MISSION AND PHILOSOPHY**

1. The Department of Psychology is a community of faculty who share common interests, including scholarship, teaching, service, and maintenance of a comfortable working environment through positive collegial relations and contributions. New faculty members are hired into the department as probationary members, with the intent that they will become permanent members after a specified probationary period. During this period, the department conducts annual faculty evaluations and mid-tenure reviews. After the predetermined probationary period, non-tenured faculty may apply for tenure and/or promotion. Just as in their initial employment applications, it is the primary responsibility of candidates for tenure and/or promotion to provide convincing evidence to support and justify a positive tenure and/or promotion decision. It is the purpose of these guidelines to communicate departmental expectations and ideals to junior faculty, and to suggest various sources of evidence to attest to the quality, quantity, and breadth of candidates' accomplishments. The guidelines are consistent with the Department's Mission Statement:

*Psychology is a major discipline, which contributes to the social and natural sciences. The primary mission of the Department of Psychology is to advance the science and profession of psychology through the production and dissemination of knowledge related to the discipline, and the preparation of academic and professional psychologists. Consistent with the mission of the Center for Applied Psychological Research (CAPR), departmental emphasis is placed upon scholarly activities, which maintain and enhance the department's national research reputation. The department strives to provide high quality liberal and general education for undergraduate students, a coherent, high quality program for its majors and graduate students, service courses to students in other majors, and*

*services to the general public. The breadth of the faculty's commitment is reflected in graduate programs in both basic and applied science and in diverse research and scholarly pursuits. The department's mission is consistent with the university's mission to advance learning through excellence in teaching, research, and service.*

2. All candidates for tenure and/or promotion must meet the departmental, college, and university eligibility criteria in effect at the time of application for tenure and/or promotion. Because departmental guidelines supplement the University of Memphis Faculty Handbook (Part III, sections on Faculty Evaluation, Tenure, and Promotion) and Tenure and Promotion Guidelines of the College of Arts and Sciences, candidates for tenure and/or promotion should become familiar with each set of guidelines. Candidates should recognize, however, that it is impossible for the department, college, or university to construct rigid and exact standards or criteria against which candidates should be judged. Rather, candidate contributions to their students, to their department, college, and university, to their professional disciplines, and to the larger community must be evaluated by their peers within the context of individual ideals and expectations.
3. Despite the difficulties of making evaluative judgments, decisions about tenure and promotion are vital to the maintenance and advancement of the quality of the faculty community and to the productivity and growth of the university; and, despite the specialty of the talents of each faculty member there is a range of professional activities within which a particular configuration of contributions may be viewed. These professional activities are subdivided into the categories of teaching and mentoring, research and scholarly/creative activities, and professionally related service.
4. Teaching and mentoring, research and scholarly/creative activities, and professionally related service constitute the three primary areas of focus for promotion and tenure. Although not every faculty member can be expected to excel in all three areas, in all instances the candidate's teaching must be judged as acceptable or better. Further, candidates' must provide sufficient evidence of accomplishment in each area to warrant a positive tenure and/or promotion decision.
5. The department's Tenure and Promotion (T & P) Committee is required to make recommendations about its faculty members in three contexts: 1) the granting of tenure; 2) promotion to Associate Professor; or 3) promotion to Professor. Similar types of supporting materials should be included in candidates' tenure/promotion dossiers and considered in the evaluation of candidates' teaching, scholarship, and service.

6. Just as hiring decisions are in part prognostic statements about faculty members' likelihood of gaining tenure in the department, tenure decisions should be predictive of future promotion decisions. A recommendation for tenure indicates both demonstrated worth to the department and an assessed potential for promotion. Thus, tenure recommendations should be evidence of satisfactory performance since hiring to the present and also of anticipated professional growth.
7. A decision to recommend a candidate for promotion is made in recognition of an appropriate level of professional development; that is, more than the passage of time separates the ranks. Therefore, somewhat different levels of criteria are employed in the decision to recommend promotion to Associate Professor than are used to recommend promotion to Professor. The minimum expectations for appointment to each rank are stated in the UM Faculty Handbook, Chapter 3, Faculty Personnel Policies and later in this document.
8. During promotion decisions, committee members employ individual concepts of the levels of criteria that should apply to each rank based on varying admixtures of what is and what ought to be. To achieve some congruence in the application of final criterion levels, candidates and committee members should keep the following points in mind:
  - a. Professional growth in maturing faculty is particularly valued as it contributes to the mission of the department, the college and the university. Professional development should enhance, not conflict with the academic roles of faculty.
  - b. The professional development of faculty should demonstrate qualitative as well as quantitative growth.
  - c. Faculty growth should occur in areas of weakness as well as areas of strength. Faculty who are promoted to Associate Professor are encouraged to strengthen identified areas of weakness as part of their ongoing professional development. Although it may be unreasonable to expect faculty to excel in all areas, all faculty are expected to contribute meaningfully in all areas.
  - d. Rank beyond the Assistant Professor carries with it the expectation of professional contributions that extend beyond the confines of the university. Although excellence is not measured in geographic units, work that is of substantial and lasting value will be recognized outside the university community, whether at local, regional, national, or international levels.
  - e. In arriving at their decisions, T&P Committee members consider the guidelines for each rank specified in the University Faculty Handbook and those in this document.

- f. Although collegiality is not treated as a separate category of evaluation, faculty may consider this factor in arriving at decisions on tenure and/or promotion. In so doing, collegiality is considered only as it applies to the evaluation of a candidate's performance in teaching, research, and service. Documentation of collegiality, although not contained in the candidate's dossier as a separate evaluation category, may be provided by the candidate as part of the university's "Other Factors for Consideration." For this reason, the Psychology Department Guidelines include a section on Collegiality/Citizenship documentation. The items described in Section 4 (pp. 10-12) serve only as examples of documentation that the candidate might include in the dossier sections for teaching, research, and service.

## **B. GUIDELINES**

NOTE: The University of Memphis uses an online dossier submission process managed through the Dean's Office of the College of Arts and Sciences. All materials to be included are uploaded by the applicant, the T&P Committee Chair, and the Department Chair at different stages of the process. The areas listed below in this section of the departmental T&P Guidelines serve as examples that could attest to the applicant's qualification for tenure and/or promotion. However, the format to be followed is that specified for online dossier submission.

Faculty who wish to apply for promotion or tenure should begin to prepare a dossier of professional activities and accomplishments as early as possible, following the procedures and dates specified annually by the department and the College of Arts and Sciences. Candidates for tenure and/or promotion have primary responsibility for providing convincing evidence of excellence in the areas of teaching and mentoring, research and scholarly/creative activities, and professionally related service, although committee members and candidates' subcommittees may provide assistance as requested or as deemed necessary. Procedures for application for tenure and/or promotion are provided in Part VI of this document. Any evidence in any form that the candidate deems appropriate or relevant to demonstrate excellence in the areas of teaching and mentoring, research and scholarly/creative activities, and professionally related service should be included in the dossier, except where specifically prohibited within this document (e.g., letters of recommendation from current students). The *UM Faculty Handbook*, Chapter 4, Tenure and Promotion further identifies several areas of documentation that may be provided for each category.

## 1. TEACHING AND MENTORING (TEACHING)

Excellence in teaching and mentoring can be inferred from the performance of the learner, as well as the nature and delivery of course content. Means for demonstrating excellence in teaching and mentoring can be accomplished in part by addressing student outcomes and evaluations. Additionally, candidates for tenure and promotion should strive to demonstrate that course content has been current, comprehensive, and appropriately delivered. Assessing excellence in teaching and mentoring is difficult given disparate course content, class sizes, instructional styles, imperfect assessment devices, and related limitations; however, the candidate for promotion and/or tenure should consider the following means of demonstrating excellence in teaching and mentoring.

- a. **Course Syllabi.** Course syllabi should be placed in candidates' dossiers for every class taught during the probationary period in tenure decisions, and for courses taught during the post-tenure period for promotion decisions. Syllabi should describe in detail the breadth and nature of the course (e.g., goals, objectives, learning experiences, assignments, content coverage, methods of student evaluation, reading lists).
- b. **Criterion-Related Assessments.** Candidates can demonstrate student content or skill mastery and the extent to which the instructional goals have been achieved in part by presenting the results of comprehensive criterion-related examinations or describing students' culminating class experiences.
- c. **Pre-Post Student Gains.** Gains in student competence or knowledge can be demonstrated by candidates through the administration of objective student evaluations early in the semester, followed by the administration of an alternate form of the evaluation at the end of the semester.
- d. **Classroom Visitations.** Candidates may request that the department chair arrange invited class visitations by colleagues for the purpose of peer teaching evaluations. The reports of observers can be used as documentary material for teaching evaluation. Prior to class visitations, the candidate and observers should clarify the parameters of the class visit and teaching evaluation.
- e. **Video-Taped Teaching Critiques.** Videotaped recordings of instruction may be used in support of excellence in teaching.
- f. **Commitment - Activity Measure.** All teaching-related activities can be used as partial evidence for excellence in teaching. Faculty should document the development of new instructional units or materials; implementation of new instructional technologies or methods; participation in unique teaching programs (e.g., honors courses, adult education); and, any activities that enhance candidates' teaching effectiveness.



- g. ***Questionnaires to Graduates.*** Faculty may solicit anonymous teaching evaluations from past students who have since left the university (e.g., graduates).
- h. ***Performance of Students on Internship.*** Candidates may wish to add to their dossier evaluations that their students have received while on internship. Documentation that the student has gained special recognition or expertise that is in part attributable to the candidate should be highlighted.
- i. ***Standard Student Questionnaires.*** The *UM Faculty Handbook*, (p. 70, see also p. 168 Appendix E) states  
Student evaluations are required for every section of every course, including summer sessions taught by University of Memphis faculty members and includes full-time and part-time instructors and graduate teaching assistants. Faculty members must include student evaluation results with applications for promotion and tenure. The Student Evaluation of Teaching Effectiveness rating system (SETE) is an electronic process. Information about SETE forms, and monitoring capabilities can be found on the provost web site at and on each faculty member's portal-SETE channel.  
The SETE forms are routinely used in the department. Supplemental questionnaires also may be used by candidates to assess teaching excellence. The content of supplemental questionnaires might assess such factors as the instructor's relationship with students, classroom administration, facilitation of student participation, classroom presence, organization and presentation of material, professional bearing, and interest in teaching.
- j. ***Preparation of Teachers in Graduate Training.*** Because one goal of graduate education is the preparation of future college teachers, candidates' commitment to the preparation of graduate students for college teaching provides one possible index of teaching commitment. Such commitment can be demonstrated by the participation of candidates in unique teacher-training roles (e.g., team-teaching, supervised teaching experiences); the presence of candidates' students in specialized departmental teaching programs.
- k. ***Preparation for the Professional Practice and Applications of Psychology.*** An important teaching role includes acquainting graduate students with current methods in the professional practice of psychology. One index of a candidate's commitment to professional training is provided by anonymous student evaluations of the faculty member as a supervisor of research and/or clinical practica, placements, or internships. In cases in which such data sources are used, all due precautions will be taken to protect student anonymity and confidentiality.

- l. ***Preparation for Research and Scholarship.*** An important component of graduate education is providing training in the skills, techniques, and professional behaviors appropriate to the academy and the profession. Professional training of this sort is imparted by candidates who serve as good role models to students in research practica and seminars; in the supervision of students' theses and dissertations; in the production of jointly authored journal articles and papers with students; and, so on. Faculty should identify instances in which such scholarly activities have contributed meaningfully to their effectiveness as teachers or to the education of their students.
- m. ***Out-of-Class Teaching, Tutoring and Advising.*** Candidates also may wish to document the amount and nature of time spent with students outside class as additional evidence of teaching excellence.

## **2. RESEARCH AND SCHOLARLY/CREATIVE ACTIVITIES (SCHOLARSHIP)**

There are many behaviors, products, and/or events that can be used as evidence of one's scholarship; candidates are urged to include in their dossier all information that reflects the quantity and quality of scholarship. Candidates should be aware that both the quantity and quality of their scholarship will be considered during tenure and promotion deliberations. Examples of traditional means of documenting scholarship are presented below; however, because it is the candidate's responsibility to document excellence in scholarship, candidates should include in their dossiers all pertinent or relevant information that supports their claim of excellence.

- a. ***Research*** is a primary index of scholarship; candidates' tenure and/or promotion dossiers should address the nature and scope of their research programs. Candidates should be aware that progress toward organized and well-integrated research programs provides stronger evidence of scholarship than a number of unrelated, unfruitful, short-term, or single-effort projects. Both funded and unfunded research are important to document. Consistent with the departmental evaluation guidelines, both funded and unfunded research are important in the evaluation and tenure and promotion process.
- b. ***Independent Research Programs.*** Candidates should provide evidence of independence in their research programs. That is, candidates for tenure and/or promotion should document the extent to which their research has been under their own direction and influence. In instances of collaborative work, candidates should document the extent and importance of their contributions to the research projects.
- c. ***Publications: Books, Journal Articles, Conference Proceedings, Technical Reports.*** (A full citation of each entry is to be provided, preferably in APA style). Because all

publications are not of equal merit, differential weight is ascribed by individual committee members to publications according to perceived importance and contribution to the profession. Generally, refereed, national-level journal articles and in some cases conference proceedings have more professional import than local, state, or regional journals, newsletters, or organizational house publications. Candidates should document the quality, scope, influence, and importance of their publications to assist committee members in their evaluation of each work. When “in press” publications are included in the candidate’s dossier, the candidate is encouraged to include a letter of acceptance for each “in press” entry.

- d. ***Presentations: Professional Meetings, Invited Addresses.*** The nature of the material and the type of audience to whom a candidate’s work is presented are indicators of the level of scholarship associated with that work (e.g., an invited address to an international symposium is generally more prestigious than a presentation to a local audience). Candidates should document the nature of their presentations (e.g., invited, peer reviewed, automatic inclusion) and the audience to whom presentations were made (e.g., international, national, regional, local).
- e. ***Editorial Appointments:*** Invitations to serve as editors, associate editors, editorial board members, or occasional reviewers for publications are partial indication of candidates’ expertise in a field. Candidates should identify all publication outlets to which they are invited to provide editorial assistance. Further, candidates should indicate the scope of the publication (e.g., national-level refereed journal, local newsletter) and describe the nature and amount of work performed for the publication.
- f. ***Research Proposals and Grant Awards.*** Preparation of research/grant proposals is an indication of candidates’ ability to organize, assemble and submit scholarly work; a grant award is an even greater indication of candidates’ scholarship. The scope of proposed research, the granting agency to which proposals were submitted, whether the proposals were granted and the amount of money awarded, are all elements considered when evaluating candidates’ granting efforts and awards. Candidates should describe and/or include copies of proposals, reviews when available and awards in their dossiers.
- g. ***Scholarly Performance of Students.*** Candidates’ scholarship may be reflected in part by the work of their current and past students. Information concerning any current students (or past students) who are successful and who were trained by or who are closely associated with the candidate should be presented. Candidates should distinguish the ways in which the students’ contributions were unique and separate from the contributions of the faculty.

- h. *Appointments, Awards, Consultantships.*** Any award or recognition that has been bestowed upon candidates should be identified and documented in their dossier. Awards and personal recognitions include, but are not limited to, having been awarded a chair of honor; prestigious lectureship; invitations to serve on advisory boards or steering committees; appointments to research or working groups; consultantships to corporations or service agencies; special recognition of accomplishments by professional organizations (e.g., organizational awards, diplomate status, Fellow status).
- i. *Evidence of Broad Impact of Research and Scholarship.*** The ultimate value of research and scholarship is evidenced by the extent to which it influences the work and thoughts of others. Evidence for such broad impact may be furnished in the form of being cited in others' works; invitations to contribute to or participate with others in their work (e.g., invited symposia participation, invitations to contribute to edited books); reprint requests; book reviews; reproduction of work in volumes of collected works; adoption of candidates' books by other universities; numbers of people served directly or indirectly by candidates' contributions.
- j. *Intellectual Property and Technology Transfer.*** The value of research can also be evidenced through the development of unique intellectual property and products of potential commercial value. Inventions accepted by the Office of Technology Transfer for patent application, licensing or other forms of protection are considered to demonstrate the impact of research and scholarship and are valued in a manner similar to publications, presentations and grant activity.

### **3. PROFESSIONALLY RELATED SERVICE (SERVICE)**

The concept of service includes all beneficial activities that are not considered to be part of candidates' teaching or scholarship responsibilities. In the broadest sense, service is the provision of assistance to students, the department, college, and university, as well as the community, state, region, and nation. Service is a responsibility of all faculty by reason of professional, academic, and state-employee identification. Service can be dichotomized as 1) activities undertaken within the university organization (e.g., department, college, university structures), and 2) activities that benefit organizations outside the university (e.g., local, regional, and/or national organizations; other universities). Following is a sample of service activities and the contexts in which they might occur.

#### ***Service within the University***

- a. *Departmental Committees.*** Meaningful contributions to departmental committees enhance the overall well-being of the department; therefore, candidates should document

their departmental committee work as evidence of service to the department. Also, because increased responsibilities typically are assigned to committee chairs, candidates should identify when they served as committee chairs to be properly credited.

- b. *Administrative Load Sharing.*** Departmental administrative assignments (e.g., Director of the COE; Program Directors) are additional means of service to the department and should be documented.
- c. *Departmental Innovations.*** Candidates' contribution to the revision, development, or initiation of departmental policies, programs or procedures should be noted in the dossiers.
- d. *College Committees.*** Because the effectiveness of the various colleges across the university depends upon committees to influence their policies and function, candidates should identify how their service activities have benefited the various colleges. Candidates also should identify when they have served as chairs of college committees.
- e. *College-wide Innovations.*** Candidates' contributions to the development of innovative education practices or administrative policies that have College-wide influence should be noted in the dossier as additional evidence of candidates' service contributions to the college.
- f. *University Committees.*** Beyond the college, faculty members have a responsibility to serve various administrative committees of the university. The Faculty Senate, advisory Committees, task force, self-study committees are but a few of the areas that require faculty participation.
- g. *University-wide Innovations.*** Candidates' contributions to the development of innovative education practices or administrative policies that have university-wide influence should be noted in the dossier as additional evidence of candidates' service contributions to the university.
- h. *Master's and Ph.D. Committees.*** Serving as a member of Master's and Ph.D. Committees affords candidates the opportunity to improve the quality of graduate education throughout the university. Candidates participation on student committees, whether within or outside the Department of Psychology, should be summarized in their dossier. Candidates also should identify the committees on which they served as chair.

### ***Service beyond the University***

- a. *State Professional Groups.*** Faculty who are appointed or elected to the councils and boards of professional organizations within the state (e.g., state psychological or educational agencies, regulatory bodies, task forces, professional groups) make service

contributions to the community at large. Candidates should describe in their dossiers the nature of the state-wide organizations they have served, as well as the services provided.

- b. *Regional, National, and International Professional Groups.*** Psychologists who are appointed or elected to the councils and boards of professional organizations in regional, national, and international professional associations and related groups (e.g., federal task forces) make service contributions to an even broader community. Candidates should describe in their dossier the nature of the regional and national organizations they have served, as well as the services provided.
- c. *Service to Other Universities.*** Candidates should document the extent to which they have served as external reviewers of candidates being considered for tenure and/or promotion at other institutions.
- d. *Appointment to Study Committees.*** Candidates should identify and describe their participation on study committees responsible for the evaluation of major programs and research efforts in psychology and related fields (e.g., institutional accreditations; institutional self-studies; professional or governmental task-forces).
- e. *Public Advisory Activity.*** Appointment or election to public advisory groups or service provided in a variety of capacities to community programs, governmental agencies, public and private social service agencies at local, state, national, and international levels should be documented in the candidates' dossiers as further evidence of service to the greater community.
- f. *Evidence of Professional Expertise.*** Community service is the application of candidates' psychological expertise to solve community problems. The ultimate value of community service of this sort lies in its impact on the lives of others. Evidence of the extent to which candidates' professional expertise is sought after to solve community problems should be documented in candidates' dossiers.

#### **4. OTHER FACTORS FOR CONSIDERATION (COLLEGIALITY/CITIZENSHIP)**

In addition to the above indicators of faculty contributions to teaching, research, and professional service, each faculty member also contributes in less tangible but equally important ways to the functioning of the department as a whole. The less tangible contributions of collegiality/citizenship also reflect upon the candidate's teaching, research, and service. Faculty members in a department are expected to foster a supportive, harmonious environment for themselves, their colleagues, and the department's support staff. Viewed as a system, the department is better able to achieve its overall goals if interactions among its members are characterized by mutual respect and support. Documentation can take

the form of letters of support and any other written evidence that the candidate may wish to be known. Examples include:

- a. **Area letters.** Colleagues who are most familiar with a candidate's contributions to a climate of cooperation within the candidate's specialty area may be asked to write letters of support for the dossier. A letter from the director of the specialty program might also be included in the candidate's dossier to address the candidate's level of cooperation in formulating and pursuing curriculum, research, and service goals within the area; willing and respectful mentoring of students; constructive interactions with other faculty; and capacity for collaboration in the pursuit of joint objectives.
- b. **Program letters.** Just as faculty members participate in their areas of specialization, they also take part in the broader programs that comprise the department (i.e. Clinical, Experimental, General Master's, School). Thus, a letter from the director of the candidate's program can be a useful source of data as well. The director's program letter might address whether the candidate plays a constructive role in area decision-making; is respectful to faculty working in other areas of specialization; is viewed as a resource by students in the program; is sought out as a mentor, supervisor, and committee member; and, participates willingly in other functions entailed in the smooth operation of the program (e.g., accreditation site visits, maintaining positive interactions with relevant community groups).
- c. **Chair letters.** Although a letter from the department chair may provide a unique perspective on the collegiality of candidates in other domains of professional functioning, a letter from the chair cannot be included in the dossier to be reviewed by the T&P Committee. The chair may consider this in the chair's separate evaluation of the candidate, but cannot influence the process at two levels.
- d. **Letters From Other Faculty.** The candidate may ask colleagues who are no longer on faculty at the university (e.g., retired faculty, relocated faculty) to write letters describing the candidate's contributions to the area or department during the period of the colleague's employment at the university.
- e. **Beneficial Volunteer Activities in the Department's Name.** Candidates should document the extent to which they have participated in activities as a departmental representative, for the benefit of the department (e.g., participating in the annual "Phonathon"; representing the department at local high school or college "career days").
- f. **Coordinating or Participating in Activities Valued by the Department.** The candidate should identify all volunteer activities the candidate has performed that have benefited the

department or the department's students (e.g., Psi Chi Coordinator; Coordinator of an undergraduate research competition).

- g. ***Volunteer Gestures of Goodwill.*** At times, departmental needs are of an emergency nature and require someone to step forward to make an altruistic contribution (e.g., covering clinical supervision for an ill colleague; volunteering to teach a needed course as an overload; meeting with the parents of visiting prospective students; being available and willing to advise nonassigned or transfer students on an ad hoc basis). Such spontaneous acts of collegiality should be described and supported in the candidate's dossier.

In the final analysis, candidates should strive to provide irrefutable evidence of excellence in each of the above areas. The previously suggested items are all possible indications of candidates' excellence in the main evaluation areas of teaching, scholarship, and service; and in attesting to the candidate's collegiality. The list was not intended to be exhaustive, and candidates should be aware that individual committee members will assign different weights to all aspects of evidence in the candidates' tenure and/or promotion dossier. It is therefore in the candidates' best interest to ensure that their dossiers include all credible evidence of excellence in each of the areas. Documentation attesting to the candidate's collegiality/citizenship must be connected to the candidate's dossier sections for teaching, research, and service. A separate section for such contributions is not permitted.

## 5. INTERDISCIPLINARY FACULTY

Interdisciplinary faculty are reviewed in accordance with the Department of Psychology's definition as follows (based on Faculty Senate description in the 2014-2015 *Faculty Handbook*):

### **Chapter 3: Types of Appointments:**

"An interdisciplinary appointment consists of one of the appointments listed above which is shared in some manner across departments or colleges within the University. Prior to initiation of any advertisement or hiring action, the concerned academic units shall create a memorandum of understanding (MOU) that documents the responsibilities of each unit regarding the hiring, mentoring and mid-term evaluations, tenure, and promotion issues related to the interdisciplinary position. While research expectations affecting tenure decisions for interdisciplinary faculty members are expected to be largely the same as those of regular faculty members in each academic unit, some accommodations with respect to teaching assignments and service are anticipated. As a result, the MOU will also document the amount of time with respect to teaching, research, and service the appointee is expected to spend with respect to



each academic unit and the financial responsibilities of each unit with respect to start up, salary, and other support. This MOU shall be signed by the department chairs and cognizant dean(s).”

#### **Chapter 4 Departmental Guidelines for Tenure and Promotion**

##### **Guidelines for Tenure and Promotion of Interdisciplinary Faculty**

“Faculty members with interdisciplinary appointments are expected to substantially fulfill all departmental and college requirements for tenure for each of the academic units involved in the appointment. The degree to which each aspect of the guidelines are to be fulfilled for an interdisciplinary faculty member shall be detailed in a Memorandum of Understanding (MOU) created by the concerned academic units prior to the hiring of the faculty member. This MOU shall specifically list the expectations with respect to teaching, research, and service for each academic unit, the mechanism by which mid-term, tenure, and promotion evaluations will be conducted, along with the procedures and constitution of evaluating committees. The MOU shall also clearly state procedures for non-renewal of the appointment following an unsuccessful application for tenure.”

## **II. ANNUAL REVIEWS AND EVALUATIONS**

These guidelines are a separate document recommended to the department chair by the Faculty Advisory Committee in spring, 2002, and reviewed by the full faculty in September. Annual reviews of all faculty are conducted according to the guidelines at the discretion of the chair. That is, the department chair is not bound by these recommendations and may follow a similar procedure of the chair’s choosing. Additional information regarding faculty evaluation appears in the *UM Faculty Handbook*, Chapter 4.

### **Introduction**

In helping to achieve the department’s mission, faculty serve varied and important roles. As a result, faculty members will differ in the manner and degree in which they participate in activities important to the department. Even so, each faculty member is expected to participate in a meaningful way in each of these activities, which include scholarly activity, teaching, service, administration, and citizenship.

The department is committed to annual evaluation of all of its faculty for each of these activities. Annual evaluation is an important means to monitor the continuing productivity of the faculty, to identify and reward outstanding performance, and to identify and address declining performance as early as possible. Annual evaluation is thus an important

mechanism for proper management of the department and will guide allocation of remunerative and other rewards as well as assignment of teaching, committee and other departmental responsibilities.

The annual evaluation is related to, but different from, the process used for evaluation of faculty for promotion and for tenure. Whereas the former is applied annually to assist in the management of the department, the latter is applied only twice in an academic career to gauge whether the candidate has met the cumulative standards for tenure and/or promotion. As such, the annual evaluation considers areas outside of the traditional academic areas of scholarly activity, teaching and service, and looks as well to performance in administration, which plays an important role in the day-to-day operation of the department; both the annual evaluation and the promotion and tenure evaluation consider citizenship, which plays an important role not only in the day-to-day operation of the department, but also in the climate of the department, which develops over time. The annual review focuses on a single year; in contrast, the evaluation for probationary and other faculty for promotion and for tenure considers the candidate's cumulative record of performance.

In spite of these differences in purpose between the two evaluation processes, special attention will be given during the annual evaluation to faculty who will be candidates for promotion and for tenure. The annual evaluation is an important opportunity to provide feedback not only on the level of faculty productivity in all areas of importance to the department, but also on the manner in which the faculty member is making progress toward the cumulative standards for tenure and promotion. It is not helpful, either to the candidate or to the department, to reward faculty who are making important contributions to the department but who are falling short in terms of making progress toward the cumulative standards for promotion and for tenure.

## **A. PROCEDURES**

1. Each faculty member will complete an evaluation during the spring semester according to a timeline specified by the Chair; the outline for that evaluation is provided in Section C below. This evaluation will allow faculty members to summarize their work with respect to the major activities of importance to the department. Of foremost importance is scholarly activity, with a focus on publications and research grants. Training activities are also very important, with a focus on formal classroom teaching, advising and mentoring, both for our graduate and undergraduate programs; clinical faculty will also document clinical supervision in the PSC. Service activities and accomplishments in the profession are described. Administrative activities, particularly contributions to the operation of the department, are also described. Faculty are asked to compare their

performance to the previous year's agreed-upon goals and to set goals for the coming year.

2. These materials will be reviewed by the Personnel Committee, appointed by the Chair. This committee will have six members, with overlap from year to year, so as to provide continuity in their work. The membership will be selected so as to represent the areas within the department and all professorial ranks. Two members will be assigned by the Chair as primary reviewers for each faculty member. Those reviewers will consider the documentation in detail and prepare a brief written report of the faculty member's performance to include any suggestions for modification of the goals proposed for the coming year. The Personnel Committee will consider rank and length of appointment in its review, with special consideration for new and tenure-track faculty and for faculty who may be considered soon as candidates for promotion and for tenure. Both reviewers will present their findings and recommendation to the Personnel Committee, and will lead a discussion of their review. The Chair will participate as an ex-officio member and participate fully in the discussion. The reviewers will then revise their written report as needed based on the discussion; that revised report will include a recommendation for a summative evaluation using five categories (outstanding, excellent, good, improvement needed, failure to meet responsibilities), consistent with the University's evaluation procedures.
3. The summative evaluation will reflect the relative importance given to each of the areas identified above. Of foremost importance is scholarly activity (40%), with a focus on publications and research grants. Training activities are also very important (20%). Service and administrative activities are considered (20%), as is departmental citizenship (20%). Details on the types of activities considered in each area are provided below.
4. The Personnel Committee will prepare an annual summary of the performance of the department's faculty, noting productivity by rank in each of the major categories of activity (e.g., peer reviewed publications, graduate courses taught, students supervised, etc.). This report will be distributed annually to the faculty and will help guide the work of the Personnel Committee and the Chair in their annual evaluations.
5. The Chair will review the reports prepared by the Personnel Committee and assign a final summative evaluation to each faculty member in terms of overall progress, taking into account the recommendation of the Personnel Committee and the performance of each faculty member in relation to the faculty as a whole. As did the Personnel Committee, the Chair will consider rank and length of appointment in this review, with special

consideration for new and tenure-track faculty, and for faculty who may be considered as candidates for promotion. There is every expectation that the faculty will vary in their areas of emphasis, with some focusing more on research, others more on training. In addition, there is every expectation that senior faculty will be more productive than junior faculty, and there is every expectation that junior faculty will focus on different aspects of scholarly activity and training during their first year or two in the department, as they set up their research and training programs. But the overriding expectation is that all faculty members will be productive contributors in all areas, and the primary consideration in the Chair's summative evaluation will be their productivity relative to their departmental colleagues. The final result will be a written report from the Chair providing feedback to the faculty member which summarizes the faculty member's performance over the past year, compares it to the performance of the other members of the faculty in the department, and agrees on goals for the coming year. While recognizing that much of the evaluation process is subjective, every attempt will be made to make this process fair and equitable. As might be expected in a highly productive unit, expectations are high, as are accomplishments.

6. The Chair will share the report with the faculty member and arrange an opportunity for discussion and revision as needed. The Chair and faculty member will sign the final version and it will be included in the faculty member's file.

## **B. CRITERIA TO BE CONSIDERED IN FACULTY EVALUATIONS**

### **1. Scholarly Activity**

- a. Publications.** The main standard for academic departments are data-based and conceptual works published in peer-reviewed journals. First author publications, which indicate that the research was performed and/or directed by the author, are a leading indicator of that accomplishment. In addition, articles where the first author is a student of the faculty member with that faculty member playing a central role in the design, funding and implementation of the research are viewed in a similar way to first authored publications.

Multi-author peer-reviewed publications are common. It is important to clearly define the role of an individual faculty member in these multi-author publications as that description helps determine the extent of involvement.

Other forms of published scholarly activity, such as books, book chapters, non peer-reviewed articles, invited articles, book reviews, letters, editorials, abstracts,

proceedings and presentations are also part of a comprehensive academic career. While they do not substitute for and are not considered at the same level of peer-reviewed journal articles, they are also important evidence of scholarly activity.

- b. Grant Activity.** Faculty members demonstrate their scholarly accomplishment by submission of grants to funding agencies and by securing external support for their research through such grants. Highly competitive agencies such as the National Institutes of Health, the National Science Foundation, and other federal agencies are leading resources. While grant submission in itself is an indicator of scholarly activity, approval and funding of grants is important to the research portfolio of the department and a clear indicator of the recognition of the work and ideas of the faculty member by peers in his or her field. While the role of Principal Investigator is the clearest indication of this accomplishment, it is also recognized that there are other significant scholarly roles in grant-funded projects.
- c. Manuscripts.** While submitted manuscripts and those “in press” are recognized as indicators of future productivity and progress, particularly for junior faculty, they are not credited as publications until the year in which they are actually published. This eliminates duplicate and triplicate recognition for works in journals with long publication times.
- d. Competitive Journals.** Although difficult to quantify, articles in high quality and very competitive journals are important indicators of scholarly activity.

## 2. Teaching/Training

- a. Classroom Teaching.** Teaching is a central element in the mission of the department. Within this category, lecture courses, especially required courses, are particularly important. In addition, new and innovative courses are recognized. Seminar and smaller specialty courses, while also important, do not receive the same credit. It is expected that all full-time faculty will perform classroom teaching irrespective of funding sources and rank. Our students have the right to see all faculty as part of the classroom teaching program. As a corollary, teaching refers to that performed in the department for our students. While there currently is no perfect evaluation of the quality of classroom teaching by faculty, evaluations by students are available and used as an indicator of the quality of an individual faculty member’s teaching.
- b. Advising and Mentoring.** It is expected that all faculty members will have a reasonable advising load appropriate to their experience and seniority. In addition, the

graduation rate of an individual faculty member's Ph.D. and Master's advisees is particularly important as an indicator of performance. Involvement of students in published research work is another important indicator.

- c. **Clinical Supervision (Clinical Faculty Only).** It is expected that all clinical faculty will provide clinical supervision in the PSC. The extent of each clinical faculty member's participation in these activities will be noted.

### 3. Administration and Service

- a. **Committees.** It is expected that all faculty members will serve on department, college and university committees, and accept other administrative assignments, when requested. These assignments are a normal part of academic life. Good performance and leadership roles on committees are recognized as an important service to the department, college and university and contribute substantially in the area of citizenship.
- b. **Consulting.** Consultation is part of psychology in an academic career. It is a recognition of one's status and stature in the field. Particularly recognized are consultations with voluntary and professional organizations including other universities and agencies closely related to one's field.
- c. **Service.** Professional service to peer organizations, government agencies, study sections, professional journals and others are also important. They are also recognition of one's stature in the field, and important to the visibility of the department among our colleagues and funding organizations. Of particular importance are appointments to grant review panels and to editorial boards of leading journals.

### 4. Citizenship

While the individual contributions of faculty are reflected in their scholarship, teaching, service, and administrative roles, each faculty member also contributes in less tangible but equally important ways to the functioning of the department as a whole. Faculty in a department are expected to foster a supportive, harmonious environment for themselves, their colleagues, and the department's support staff. Viewed as an organization, the department is better able to achieve its overall goals if interactions among its members are characterized by mutual respect and support. Timely and cooperative participation in departmental activities is expected of all faculty members.

## C. FACULTY SELF-EVALUATION OUTLINE

To the extent possible, the system for collection of information for the CAPR database will be used to collect information for the annual faculty evaluation. This outline summarizes the material to be sought, whether it is provided through the CAPR database, through supplemental documentation, or in the narrative.

### 1. Scholarly activity in the previous calendar year.

- a. **Publications** (include only articles published or accepted and in press) listed in chronological order, organized into five sections, as described below. Provide the complete citation for each publication. For each co-authored publication, include a brief statement describing your role (conceptualization, grant writing, implementation, analysis, manuscript writing, advising student research).
  1. Peer-reviewed journal articles
  2. Books and book chapters.
  3. Non-peer-reviewed journal articles
  4. Published abstracts or conference proceedings
  5. Presentations (posters or papers) at conferences
- b. **Grant activity** listed in chronological order, organized into four sections as described below. For each section, include title, funding agency & amount, one-sentence summary of project, period of funding, and your role (PI or other role).
  1. Currently funded grants
  2. Submitted & reviewed grants & their status
  3. Grants planned for the coming year
- c. **Manuscripts submitted** to peer-reviewed journals (list authors & titles; for each co-authored manuscript, include a brief statement describing your role).
- d. **Professional honors/awards/recognitions**

### 2. Documentation of teaching & training in the previous calendar year

- a. **Classroom Teaching:** List each course taught and provide details for each, including:
  1. Title
  2. Semester/year in which course was taught
  3. Number of students enrolled for credit
  4. Extent of responsibility (sole instructor, co-instructor, lecturer); if co-instructor or lecturer, stipulate percent effort & number of lectures.

5. Attach copies of the Student Evaluation forms for each course taught, including the raw data and student comments.
  6. Attach course outline for each course taught
  - b. Planned classroom teaching for the coming year, including:**
    1. Course number
    2. Title
    3. Expected number of students enrolled for credit
    4. Your role, as in 2.a.4. above
  - c. Advising:** List of formal graduate advisees organized in chronological order in 3 sections—currently active, completed in past year, and former and provide details for each, including:
    1. Student name
    2. Degree sought
    3. Program/Area
    4. Anticipated date of degree completion
  - d. Clinical Supervision (Clinical Faculty):** List number of students and cases, location, average time spent per week.
  - e. Teaching honors/awards/recognitions**
- 3. Documentation of administrative/service duties in the previous calendar year**
- a. Describe number and type of staff supervised by you.**
  - b. Committees:**
    1. Department of Psychology
    2. College of Arts and Sciences
    3. University of Memphis
  - c. Consultantships:**
    1. Paid
    2. Unpaid



- 4. Professional service**, including roles in peer organizations, advisory board roles, government organizations, study sections, site visits, editorial board membership, journal article reviews.
  - a. Other professional community service, including presentations to community groups, activities in committee work, other things done for non-professional outside organizations
  - b. Service honors/awards/recognitions
- 5. Briefly describe your past year's goals versus accomplishments.**
- 6. Briefly describe your goals for the next year**

### **III. MID-TENURE REVIEWS**

- A.** Mid-tenure reviews of non-tenured faculty will be conducted according to the University of Memphis and the College of Arts & Sciences guidelines. The evaluations are done near the end of the faculty member's third year of service or in the first semester of the fourth year of service. The process does not result in specific decisions on tenure or promotion status by the departmental T&P Committee, the chair, or the dean. Rather, it is intended to provide constructive feedback regarding faculty progress that will help them to determine where they stand in terms of their later application for tenure and promotion.
- B.** Each candidate must prepare a dossier according to the format required by the university for tenure and promotion, with the exception that external letters of review are not required. The dossier is to be submitted at least two weeks prior to the date when the T&P Committee review is scheduled.
- C.** A separate meeting time will be scheduled for each candidate, at which time the candidate's application will be discussed. The committee will not conduct a candidate interview as part of this meeting. Candidates will be considered in alphabetical order according to their last names. All eligible members of the T&P Committee and the department chair may attend this meeting.
- D.** A letter summarizing the committee's review and recommendations is prepared by the T&P chair and sent to the candidate, department chair, and the dean. The T&P chair and department chair meet jointly with the candidate to review the evaluation and recommendations. The department chair prepares a separate letter of evaluation to the dean. The T&P letter, chair's letter and the dossier are forwarded to the dean. The dean may choose to hold a separate meeting with the candidate.

E. The general timeline for conducting the review is as follows:

Early January:	Reminder of format, and timeline sent
Mid-March:	Submit dossier to department chair
Late March:	Dossier available for faculty review
Early April	T&P Committee discussion of progress
Late April:	Evaluation letter prepared by T&P chair
Late April:	Department chair and T&P chair meet with candidate
Late April:	Letter sent to candidate, chair, and dean
Early May:	Meet with dean for additional feedback if requested

#### IV. CRITERIA FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

The UM *Faculty Handbook* (Chapter 3) identifies the following minimal requirements for promotion to Associate Professor:

- Documented evidence of ability in instruction, public service and research, provided however, that clinical associate professors should show evidence of ability in instruction and service only; provided further that research associate professors should show evidence of research and service capabilities only.
- Earned doctorate or terminal degree from an accredited institution in the instructional discipline or related area plus **at least** five years appropriate professional experience (excluding experience concurrent with and in the same institution where studies were taken for an advanced degree) in the instructional discipline or related area
- Documented evidence of high quality professional productivity, which is leading to national recognition in the academic discipline.
- Evidence of good character, mature attitude, and professional integrity.

In supporting the university statement, the department believes that promotion to the rank of associate professor requires clear and demonstrable evidence that the candidate has developed a program of teaching and scholarly activity, which is original and of high quality. The candidate should have the ability to supervise the training of students for scholarly inquiry. Candidates should be clearly recognized for their impact and effectiveness as a teacher and advisor. Candidates should show evidence of having mastered their discipline and the ability to carry out independent inquiry leading to high quality publications in peer-reviewed journals. Additional evidence shall include the information on competitively awarded grants and the publication of peer-reviewed books and book chapters and other

scholarly activities. It should be noted that in reviewing an individual's scholarly activity, there should be evidence of sustained performance. Service is an important supplementary component of the candidate's activities for appointment or promotion to the rank of associate professor and the significance of the candidate's service should be documented.

## V. CRITERIA FOR PROMOTION TO PROFESSOR

The UM *Faculty Handbook* (Chapter 3) identifies the following minimal requirements for promotion to Professor:

- Documented evidence of ability in instruction, public service and research, provided however, that clinical professors should show evidence of ability in instruction and service only; provided further that research professors should show evidence of research and service capabilities only.
- Earned doctorate or equivalent terminal degree from an accredited institution in the instructional discipline or related area plus at least ten years appropriate professional experience (excluding experience concurrent with and in the same institution where studies were taken for an advanced degree) in the instructional discipline or related area.
- Documented evidence of sustained high quality professional productivity and national recognition in the academic discipline
- Evidence of good character, mature attitude, professional integrity, and a high degree of academic maturity and responsibility.

The absence of teaching excellence and superior contribution to student development or the absence of scholarly or creative activity may prevent advancement to professor. Since there is no higher rank, promotion to professor is taken with great care and requires a level of achievement substantively beyond that required for associate professor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.

In supporting the university statement, the department believes that promotion to the rank of professor implies advanced academic maturity and requires clear and demonstrable evidence that the candidate has achieved recognition as a national authority in the candidate's discipline through the development of an original program of teaching or scholarly activity.

Candidates should be clearly superior in their teaching activity and there should be evidence of excellent performance and impact on the field by students whom the candidate has prepared for careers, professional and academic. The scholarly output of the candidate should be consistent and sustained and should have developed a theme or major area of expertise. There should be one or more outstanding publications with the particular stamp of the personality and contribution of the investigator who is a candidate for professorship. Additional evidence shall include the information on competitively awarded grants and the publication of peer-reviewed books and book chapters and other scholarly activities. Service is an important supplementary component of the candidate's activities and should have contributed significantly to major policy formation, and have had a demonstrated impact in the candidate's field within the framework of professionally related community activities which contribute to department, college and university functions, professional organizations, and the local, state, national or international community.

## VI. CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR OF TEACHING

Candidates applying for a promotion to Associate Professor of Teaching are evaluated on only their teaching and service activities. External peer review letters are not included in these teaching professor dossiers, and performance on research and scholarship is not considered in the T&P Committee recommendation or included in the committee's summary letter.

The following are minimal requirements for promotion to Associate Professor of Teaching:

- Documented evidence of ability in instruction and service.
- Earned doctorate or terminal degree from an accredited institution in the instructional discipline or related area plus **at least** five years appropriate professional experience (excluding experience concurrent with and in the same institution where studies were taken for an advanced degree) in the instructional discipline or related area. Exceptions to this minimum requirement can be made by the Provost.
- Professional comportment consistent with the Faculty Code of Conduct.

In supporting the university statement, the department believes that promotion to the rank of associate professor of teaching requires clear and demonstrable evidence that the candidate has developed a program of teaching, which is of high quality. The candidate should have the ability to supervise the training of students. Candidates should be clearly recognized for their

impact and effectiveness as a teacher and advisor, and they should show evidence of having mastered their discipline.

## **VII. CRITERIA FOR PROMOTION TO PROFESSOR OF TEACHING**

Candidates applying for a promotion to Professor of Teaching are evaluated on only their teaching and service activities. External peer review letters are not included in these teaching professor dossiers, and performance on research and scholarship is not considered in the T&P Committee recommendation or included in the committee's summary letter.

The following are minimal requirements for promotion to Professor of Teaching:

- Documented evidence of ability in instruction and service.
- Earned doctorate or equivalent terminal degree from an accredited institution in the instructional discipline or related area plus at least five years in the rank of associate professor of teaching in the instructional discipline or related area. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct, including evidence of good character, mature attitude, professional integrity, and a high degree of academic maturity and responsibility.

The absence of teaching excellence and superior contribution to student development may prevent advancement to professor of teaching. Since there is no higher rank, promotion to professor of teaching is taken with great care and requires a level of achievement substantively beyond that required for associate professor of teaching. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.

In supporting the university statement, the department believes that promotion to the rank of professor of teaching implies advanced academic maturity and requires clear and demonstrable evidence that the candidate has achieved recognition through the development of an original program of teaching. The candidate should be clearly superior in their teaching activity, and there should be evidence of excellent performance and impact on students whom the candidate has prepared for careers, professional and academic. Service is an important supplementary component of the candidate's activities, and the candidate should have contributed significantly to policy formation and/or have had a demonstrated impact in the field within the framework of professionally-related activities which contribute to

department, college, and university functions as well as professional organizations and/or the local, state, national or international community.

## **VIII. APPLICATION PROCESS**

The submission of dossiers and subsequent recommendations are managed electronically via UM Drive files for each step in the T&P process (see p. 26 Flowchart).

### **A. DECLARATION OF CANDIDACY**

The incoming T&P chair will announce that any faculty wishing to apply for tenure and/or promotion must declare their intention in writing to the Department chair by May 1 or the Monday that follows if this falls on a weekend.

### **B. CANDIDATES' SUBCOMMITTEES AND DOSSIERS**

1. Each candidate will be assisted in the preparation of a complete and representative dossier by a three-member subcommittee. Each member of the subcommittee must be eligible to vote on the candidate's application for tenure and/or promotion. The candidate will select the subcommittee chair. The chair of the subcommittee shall be a person familiar to the extent possible with the candidate's work and his or her area of specialization. The remaining two members of the subcommittee shall be selected by the department chair with the approval of the subcommittee chair. These two members shall consist of one member from the Clinical/School Faculty and one member from the Experimental Faculty outside the candidate's area of specialization. The subcommittee will be created as soon as possible after the candidate announces the intention to apply for tenure and/or promotion. The subcommittee members are not necessarily advocates for the candidate. The purpose of the subcommittee is to try to ensure that the full T & P Committee has all of the data necessary to make an informed decision about the candidate. Members of the full T & P Committee are encouraged to inform the subcommittee of any information or data they believe the candidate should address in his or her dossier.

2. Candidates must submit their dossier online by the deadline established by the T&P Committee Chair, but at least two weeks before the T&P Committee review.

3. If the department chair is being considered for tenure and/or promotion, the chair's dossier shall be submitted online, and later transmitted directly from the T&P Committee chair to the Dean.

4. Material included in candidates' dossiers is to be guided by the criteria for tenure and promotion described in the University of Memphis Faculty Handbook, the Tenure and

Promotion Guidelines of the College of Arts and Sciences, and the Psychology Department's Guidelines and Procedures for Promotion and Tenure.

5. To facilitate the review of scholarship, candidates for associate professor and professor must identify and place in their dossiers three publications they believe reflect their best scholarly work. This requirement does not apply to the dossiers of candidates for associate professor of teaching and professor of teaching, whose evaluation is based on only teaching and service activities.
6. The candidate may not include any letters of evaluation from persons currently under the candidate's supervision (e.g., students, advisees, RAs, employees).
7. Prior to submitting the dossier to the chair by the candidate, the candidate's subcommittee will screen the dossier for completeness and appropriateness, and provide feedback to the candidate. Guided by the subcommittee's review, the candidate may add or delete materials before submitting the dossier online. In some instances additional materials are received and added to the dossier up until the time of T&P Committee review. However, the candidate may not add or delete anything from the dossier following departmental review by the T&P Committee.
8. By May 15th candidates for associate professor and professor must submit a list of at least ten prominent potential external reviewers who are in a position to evaluate their work. The requirement for external letters does not apply to candidates for associate professor of teaching and professor of teaching, whose evaluation is based on only teaching and service activities. When external letters are required, the candidate will provide names, addresses, phone numbers, and E-mail addresses for each person on this list. The candidate will also provide a description of any prior relationship with persons listed as potential reviewers on the candidate's list. Each candidate's subcommittee will ensure that the candidate's list of potential reviewers is acceptable (e.g., reviewers possess sufficient expertise, are nationally visible; no conflicts of interest exist). The subcommittee will identify a list of additional potential reviewers in consultation with faculty in the candidate's area. The candidate may not review the subcommittee's list and request the removal of one or more potential reviewers. However, the candidate may provide a list of persons whom the candidate prefers not to be on the list of reviewers. No more than one external reviewer may have been a major advisor or collaborator of the candidate. The subcommittee will decide if potential reviewers are to be removed from the list due to conflicts of interest (e.g., prior relationships, former major advisor, research collaborator).

9. When external letters are required, at least two letters of evaluation will be obtained exclusively from the subcommittee's list, and at least two letters will be obtained exclusively from the candidate's list (revised 9-18-18). A minimum of four (4) outside letters of recommendation must be included in the dossier. The subcommittee chair will solicit these letters. Reviewers will be provided a copy of the departmental Tenure and Promotion Guidelines, the candidate's vita, and a sample of the candidate's scholarly work. Reviewers will be asked to evaluate the candidate's scholarship, address the candidate's level of national visibility, and assess the candidate's professional contributions relative to other people in the same field at the same level. The reviewer will also be asked to provide a specific recommendation for or against the candidate's application for tenure and/or promotion. The ultimate responsibility for obtaining the outside letters of recommendation rests with the department subcommittee and the chair of the department. The subcommittee chair is responsible for providing the background information on each external reviewer as required by the university guidelines for preparing the dossier.

10. Reviewers will be assured that all possible steps will be taken to guarantee confidentiality of their letters. When materials are in the department, letters will be kept separate from the candidate's dossier and access will be controlled; the department chair will remove and secure letters before the dossier is returned to the candidate. This same policy of confidentiality will apply to all letters of evaluation received including those letters from former students, former department colleagues, and current department colleagues. While confidentiality can be assured at the departmental level of review, the authors of letters of recommendation should be informed that in tenure and promotion appeal procedures, confidentiality of their letters cannot be guaranteed.

11. Dossier and external letters of evaluation will then be made available to members of the T & P Committee for at least two weeks prior to any formal meetings of the Committee. During this period, members of the committee are expected to study the candidates' dossier closely.

12. A candidate for promotion can withdraw from consideration up to the point where the departmental T&P vote has been taken and forwarded to the dean. Once the dean's T&P Committee receives the vote and dossier, the candidate cannot withdraw from further consideration. Candidates for tenure, however, cannot withdraw from the process.



## **IX. COMPOSITION AND FUNCTIONING OF DEPARTMENT COMMITTEE**

### **A. COMPOSITION**

The departmental T & P Committee consists of all associate professors and professors in the department except as follows:

1. The departmental chair is not a member of the committee and may neither attend nor vote in committee deliberations of candidates for tenure and promotion. However, annual evaluations of the candidate completed by the department chair may be requested by the T&P chair. The chair may participate in meetings deliberating T&P policies and procedures.
2. Committee members are not permitted to attend or participate in T & P deliberations or vote on candidates with whom they have an obvious conflict of interest (i.e., married faculty, other non married relatives). When committee members perceive that a conflict of interest may exist between candidates and individual committee members (i.e., intimate non-marital relationships), any committee member may request a vote on whether the committee member in question will be allowed to participate in the deliberations and vote on the candidate in question. The committee member in question may not vote to resolve his or her own conflict of interest issue, and majority approval is required by the committee for the member to be allowed to participate in the deliberations and vote.
3. All eligible associate professors and professors may vote on candidates for promotion to associate professor of teaching. All eligible tenured associate professors and professors may vote on candidates for tenure and promotion to associate professor. All eligible professors may vote on candidates for promotion to professor of teaching. Only tenured professors may vote on promotion to that rank. Tenured associate professors may not sit in on the deliberations, nor vote following the deliberations, on candidates for professor. However, if the candidate is being considered for tenure AND promotion to professor, all tenured members of the T&P Committee are eligible to deliberate and vote on the tenure decision, but only professors may deliberate and vote on the promotion decision.
4. Candidates for promotion to professor may not be present or vote on other candidates also seeking promotion to the rank of professor. Candidates for promotion to professor (if tenured) may participate and vote in all deliberations for candidates for tenure and/or promotion to associate professor.
5. According to college guidelines, the departmental representative to the College T & P Committee votes at the department level but must later recuse him/herself at the college level during discussion and during votes on members from the Psychology Department.

6. The minimum number that must be present to constitute a T&P Committee is a 2/3rds quorum of eligible voting members (see voting procedures below). In the deliberations and votes on promotion to professor, a 2/3rds quorum of the professors shall be required. In determining any quorum, the T&P chair may reduce the number of eligible members to account for those who are on leaves of absence or otherwise deemed to be ineligible (See section VII-A). Committee members currently on professional development assignments are not included in the determination of required quorums unless they choose to attend the meeting.

## **B. T&P COMMITTEE CHAIR SELECTION**

The T & P Committee will elect one of its voting members by the end of the spring semester to serve as its chair the following year. The department chair may hold the election of the new T & P chair by email vote. The committee chair will assume responsibility for initiating and coordinating the activities of the committee for that year. The one-year term as chair begins at the end of the spring semester.

## **C. T & P COMMITTEE MEETINGS AND VOTING PROCEDURES**

1. Meetings may be called to consider the tenure and promotion of candidates or to conduct other T & P business. Meetings shall be conducted using an in-person, face-to-face format except when circumstances require that departmental meetings be conducted via online, virtual formats (e.g. Zoom). In all cases, a quorum for meetings requires the presence of 2/3rds of all eligible voting members of the committee (See VII-A-6 above). A positive recommendation for tenure or promotion requires that at least 2/3rds of those voting on a candidate vote in favor of granting tenure or promotion. This means that in cases where 2/3rds is not possible, the candidate must achieve more than 2/3rds. For example, when 17 members are present, the candidate must receive 12 or more votes. Votes are recorded as “Yes,” “No,” or “Abstain.” In determining the 2/3rds requirement, abstain votes have the same effect as a no vote. Motions to alter policies and procedures will be determined by a majority. At the discretion of the T & P Committee, email votes may be taken to approve matters of policy and procedure.

2. Meetings will be scheduled by the T & P Committee chair in consultation with the other members of the committee and will be timed so that the committee recommendations will be forwarded to the department chair in sufficient time to meet college deadlines. A pair of meetings will be scheduled to occur in as close succession as possible so that the committee can deliberate in one meeting and documentation of the committee’s recommendation can be approved in the second.

3. A separate meeting time will be scheduled for each candidate, at which time the candidate's application will be discussed. The committee will not conduct a candidate interview as part of this meeting.
4. The T & P Committee vote on each candidate will be by secret ballot. If the meeting is conducted online or virtually, the procedure must assure the confidentiality of each member's vote. Only those committee members present for the discussion of the candidate will be eligible to vote on the candidate. Absentee votes are not permitted.
5. Candidates will be deliberated on by the committee in the following order: 1) promotion to associate professor of teaching, 2) tenure with promotion to associate professor; 3) promotion to professor of teaching, 4) tenure with promotion to professor; 5) promotion to associate professor; 6) promotion to professor. Within categories, candidates will be considered in alphabetical order according to their last names, with A's being discussed before B's, and so on.
6. During T & P meetings in which decisions are to be made on more than one candidate, votes will be taken on all candidates but counts on individual candidates will not be conducted until all candidates have been discussed and voted on by the committee.
7. Committee members are expected to keep T & P deliberations and discussions confidential.

#### **D. T & P COMMITTEE AND DEPARTMENT CHAIR REPORTS**

1. The T & P Committee will forward to the department chair its recommendation along with a true count of the votes upon which that recommendation is based. The committee will also provide the department chair with a written statement supporting its recommendation be it positive or negative. In the case of a negative recommendation, the committee will also submit the Negative Recommendation Form required by the university. The chair of the T & P committee will be responsible for preparing all documentation representing the committee's recommendation, the written statement supporting the committee's recommendation, and in the case of a negative recommendation, the Negative Recommendation Form that will reflect the main reasons that were the basis for the recommendation.

The letter of supporting documentation will be prepared by the chair of the candidate's subcommittee and submitted to the T&P chair who will coordinate its review. Only those persons present for the deliberation and voting on a candidate are eligible to participate in the voting process to approve letters. Letters on candidates for tenure and promotion to associate

professor must be presented to the eligible T&P committee for a 2/3rds vote before the documentation can be forwarded to the department chair. Letters on candidates for promotion to professor must be presented to the eligible professors for a 2/3rds vote before the documentation can be forwarded to the department chair. Letters on candidates for tenure AND promotion to professor must be presented to all eligible tenured T&P committee members for a 2/3rds vote before the documentation can be forwarded to the department chair. If a 2/3rds approval of the documentation is not attained by the committee, the documentation will be revised to reflect the committee's perceptions and the documentation will be resubmitted to the committee for a vote.

2. The department chair conducts a separate review of the candidate's dossier and makes a separate recommendation to the dean. The department chair is not bound by the recommendations of the T&P Committee.

3. Unlike the mid-tenure review process, candidates for tenure and promotion do not have access to the T&P committee summary letter nor the letter prepared by the department chair. Access to such information, as well as the external letters of evaluation, is not permitted except in cases where the Provost's decision is to deny the petition for tenure and/or promotion, and an appeal process is initiated. As per UM policy, T&P decisions made at the departmental and the dean's level are not subject to appeal. For tenure only or tenure and promotion cases, the department chair will tell the applicants the department committee decision and the chair's decision. But that's all. No rationale, no letter sharing. Just whether the recommendation is positive or negative. For promotion only cases, the chair may share the vote and the rationale. Mid-tenure review is different. The purpose of that exercise is for the candidates to get detailed feedback from the department. Therefore, the letters are shared. [As per memo from Melissa Buchner based on the Faculty Handbook policy, October 29, 2010).]

## **X. MODIFICATION OF T&P GUIDELINES**

At least once each year the T&P Committee chair calls for a review of the departmental guidelines. Recommendations for changes are submitted to the T&P chair who then conducts a T&P Committee meeting to discuss them. In all cases, a quorum for meetings requires the presence of 2/3rds of all eligible voting members of the committee. Motions to alter policies and procedures will be determined by a majority. At the discretion of the T & P Committee, email votes may be taken to approve matters of policy and procedure.

## **XI. FLOWCHART**

**(Dates are Provided by the Dean's Office Annually)**

### **Outline of Departmental T&P Procedures**

1. T & P Committee chair selected by end of spring semester.
2. Candidates notify department chair of intent to apply for tenure and/or promotion by May 1 or the Monday that follows if this date falls on a weekend.
3. Candidate picks subcommittee chair and 2 other members.
4. By May 15<sup>th</sup> the candidate submits a list of at least ten prominent potential external reviewers to the subcommittee chair. The subcommittee identifies additional reviewers.
5. Letters of review are solicited from potential external reviewer lists.
6. Candidate submits dossier online by date specified by T&P chair. The dossier is subsequently made available for T&P member review at least two weeks prior to the T & P Committee meeting at which the candidate will be discussed. 'Letters of recommendation and the brief descriptions of the authors are also submitted online.
7. T&P Committee meets to discuss candidate and vote on tenure and/or promotion.
8. T&P Committee recommendation(s) are submitted by the T&P chair to the online dossier.
9. Department chair prepares separate recommendation(s) and submits this to the online dossier.'