



# **2014 Faculty Handbook**

**Revised:  
July 2014**

## Table of Contents

Preface .....	7
Chapter 1 - Introduction and Organization .....	8
History of The University of Memphis.....	8
Higher Education in Tennessee.....	9
University Governance .....	10
The University of Memphis Mission and Strategic Plan .....	11
Academic Units.....	11
Accreditation.....	12
Standing Committees of the University .....	12
Standing Committee: Academic Freedom and Responsibility .....	13
Standing Committee: University Council for Graduate Studies (UCGS).....	17
Standing Committee: Institutional Animal Care and Use.....	18
Standing Committee: Biological Safety.....	20
Standing Committee: Chemical Hygiene.....	20
Standing Committee: Enrollment Management Planning Group .....	21
Standing Committee: Radiation Safety.....	22
Standing Committee: Institutional Review Board for Human Subject Protection.....	23
Standing Committee: Grade Appeals.....	24
Standing Committee: Undergraduate Council .....	26
Standing Committee: Space Policy Council .....	30
Chapter 2 - Academic Freedom and Faculty Roles .....	35
Academic Freedom and Responsibility .....	35
Professional Ethics and Misconduct in Research.....	37
American Association of University Professors .....	37
Department Chairs .....	38
Chairs of Excellence .....	39
Faculty Administrators.....	41
Faculty Ombudsperson .....	41
Faculty Grievance Committee .....	43
Graduate Faculty Status .....	44

Faculty Senate.....	45
Faculty Senate Constitution, Special Rules of Order and Standing Rules.....	45
Chapter 3 - Faculty Personnel Policies .....	46
General Policies .....	46
Affirmative Action/Equal Employment.....	47
Faculty Applications .....	47
Faculty Hiring .....	47
Types of Appointments.....	48
Minimum Requirements for Appointments, Tenure, and Promotion .....	51
Terminal Degrees.....	53
Language Proficiency .....	54
Personnel Files and Disclosure of Records.....	54
Nepotism.....	55
Conflicts of Interests/Personal Benefits.....	55
Sexual, Racial, and Other Harassment.....	56
Drug-Free Campus and Alcohol Abuse Prevention.....	56
Chapter 4 - Tenure and Promotion.....	57
Tenure and Promotion Overview.....	57
Definitions of Teaching, Scholarship, and Service.....	58
Evaluation of Effective Teaching, Scholarship, and Service.....	61
Eligibility for Tenure and Promotion.....	72
Review Process for Tenure and Promotion.....	72
Preparing for Tenure and Promotion .....	81
College/School Guidelines for Tenure and Promotion .....	86
Departmental Guidelines for Tenure and Promotion.....	86
Guidelines for Tenure and Promotion of Interdisciplinary Faculty .....	87
Fast-Track for Tenure .....	88
Probationary Period Prior to Application for Tenure.....	88
Credit for Prior Service.....	89
Credit for Administrative Position or Transfer.....	89
Extension of Probationary Period .....	90

Stopping the Clock.....	91
Leaves of Absence.....	91
Non-Renewal of Appointment Following Unsuccessful Application for Tenure.....	92
Non-Renewal of Tenure-Track Contracts.....	92
Non-Renewal of Clinical and Research Faculty Appointments.....	93
Non-renewal of Appointment due to Budgetary Concerns.....	94
Post-Tenure Evaluation and Faculty Development.....	96
Expiration, Relinquishment, and Termination of Tenure.....	100
Chapter 5 - Instruction.....	109
Textbooks and Faculty-Produced Instructional Materials.....	109
Academic Dishonesty.....	110
Academic Advising.....	112
Confidentiality of Student Records (The Buckley Amendment).....	112
Classroom Misconduct.....	113
Grading System.....	114
Class Rolls.....	119
Faculty Teaching Loads.....	120
Course Introduction and Syllabus.....	120
Class Attendance and Grading.....	121
Office Hours.....	121
Faculty Meetings.....	121
Faculty Absences.....	121
Inclement Weather and Emergency Closings.....	122
Veterans' and Athletes' Progress Reports.....	122
Examinations.....	122
Commencement.....	122
Sources of Student Support.....	123
Chapter 6 - Research and Service.....	128
Vice President for Research.....	128
Research Administration.....	128
Patents and Copyrights.....	129

Safeguarding Research in Progress.....	130
Regulatory Issues .....	130
Service - Consulting.....	134
Centers of Excellence .....	136
Appropriate Use of Information Technology Resources .....	137
Chapter 7 - Professional Development and Awards .....	138
Professional Development .....	138
Faculty Awards Programs.....	140
Chapter 8 - Salary, Leave, and Economic Benefits .....	144
Salaries.....	144
Extra Compensation.....	145
Research Compensation.....	146
Educational Benefits .....	148
Emeritus Status .....	149
Summer Session Compensation.....	149
Insurance .....	149
Leaves without Pay .....	150
Sick Leave.....	150
Sick Leave Bank .....	151
Family Medical Leave .....	151
Leaves - Additional Information.....	151
Retirement Plans .....	152
Tax-Deferred Annuities .....	152
Privileges for Retired Faculty .....	152
Holidays .....	153
Chapter 9 - University Facilities and Benefits .....	154
Identification Cards.....	155
Credit Union Membership .....	155
University Information.....	155
University Libraries .....	155
Rape Crisis .....	155

Campus Recreation and Intramural Services .....	155
Information Technology .....	156
Bookstore .....	156
Bursar's Office .....	156
Business Processes.....	156
Tiger Copy and Graphics .....	157
Campus Environment.....	157
Campus News .....	158
Safety .....	158
Smoking .....	159
Design Services.....	159
Telecommunications Services.....	159
University Center.....	159
Dining Services.....	160
Health Services .....	160
Lost and Found .....	161
Mail Services .....	161
Police Services .....	161
Tickets.....	161
University-Owned Vehicles.....	162
Parking Services.....	162
Faculty Handbook – Appendices .....	163
Role of the Faculty Senate .....	163
Form: Promotion and Tenure Appointment History.....	164
Faculty Senate: Standing Rules .....	164
Constitution, Special Rules of Order, and Standing Rules for the Faculty Senate .....	169
Faculty Senate: Special Rules of Order .....	169
Form: External Evaluator List .....	170
Sample Request Letter .....	173
SIRS/SETEs Course Evaluation Summary.....	174

## **Preface**

### **Changes to the 2014 Faculty Handbook**

- University Standing Committees (updated), Introduction
- Interdisciplinary Faculty Appointments, Chapter 3
- Guidelines for Tenure & Promotion of Interdisciplinary Faculty, Chapter 4
- Non-Renewal of Appointment Due to Budgetary Constraints, Chapter 4
- Center for Teaching and Learning, Chapter 7

# Chapter 1 - Introduction and Organization

---

## Contents

---

### Introduction

- **History of The University of Memphis**
- **Higher Education in Tennessee**
- **University Governance**
- **The University of Memphis Mission and Strategic Plan**
- **Academic Units**
- **Accreditation**
- **Standing Committees of the University**
- **Standing Committee: Academic Freedom and Responsibility**
- **Standing Committee: University Council for Graduate Studies & Research**
- **Standing Committee: Animal Research and Care**
- **Standing Committee: Biological Safety**
- **Standing Committee: Chemical Hygiene**
- **Standing Committee: Enrollment Management and Retention Council**
- **Standing Committee: Radiation Safety**
- **Standing Committee: Rights of Human Subjects (Institutional Review)**
- **Standing Committee: Grade Appeals**
- **Standing Committee: Undergraduate Council**
- **Standing Committee: Space Policy Council**

---

### Introduction

---

#### **History of The University of Memphis**

In 1909, the General Assembly of Tennessee enacted law providing for the establishment and maintenance of three normal teacher education schools, one in each of the three grand divisions of the state. Memphis and Shelby County contributed \$350,000 and a site of approximately eighty acres near what was



then the eastern edge of the city. On September 15, 1912, West Tennessee State Normal School opened. In 1925, the institution became a senior college and the name was changed to West Tennessee State Teachers' College. The liberal arts curriculum was enlarged in 1941 and the school became Memphis State College. The undergraduate program was reorganized into three schools in 1951, and a graduate school was added. On July 1, 1957, by action of the Tennessee legislature, the institution was designated Memphis State University. Reflecting the institution's growing emphasis on research and graduate education and its increasing role in the community, the institution was renamed The University of Memphis on July 1, 1994.

**Higher Education in Tennessee** The Tennessee Higher Education Commission (THEC), created in 1967 by act of the Tennessee General Assembly, is responsible for coordinating and planning all higher education in this state. The commission coordinates two systems of higher education: the University of Tennessee institutions, governed by the University of Tennessee Board of Trustees, and the state universities, community colleges, technical institutes, and technology centers, governed by the Tennessee Board of Regents. THEC must approve all new academic programs, centers, or campuses; it reviews budgets, performs long-range planning, and generally ensures that a comprehensive system of higher education is developed to meet the needs of the citizens.

The Tennessee Board of Regents was created in 1972 by the General Assembly as the governing body of the State University and Community College System of Tennessee. At that time, the member institutions of the System were the state universities and community colleges formerly governed by the State Board of Education. In 1983, the General Assembly transferred the technical institutes and area vocational schools (now called Tennessee Technology Centers) to the System.

The composition and powers of the Board are set forth in Tennessee Code Annotated 49-8-201 through 49-8-203. The Board consists of 18 members: 12 lay citizens appointed for six-year terms by the Governor from each congressional district and grand division of the state; one faculty member appointed for a one-year term; one student appointed for a one-year term by the Governor from among the System institutions; and four ex-

officio members including the Governor, Commissioner of Education, Commissioner of Agriculture, and Executive Director of the Tennessee Higher Education Commission.

The Board is responsible for setting public direction in postsecondary education. Members serve without compensation and meet at least four times a year in regular session. Called sessions are convened occasionally for special purposes. As a legislative entity, the purpose of the Board is to govern and manage the System. It is empowered to employ the chancellor and define the chancellor's duties, select and employ presidents of the institutions, confer tenure and approve promotion in rank of System faculty; prescribe curricula and requirements for diplomas and degrees, approve the operating and capital budgets of each institution and otherwise set policies for their fiscal affairs, establish policies and regulations regarding the campus life of the institutions, and assume general responsibility for the operations of the institutions while delegating specifically to the presidents the powers and duties necessary and appropriate for the efficient administration of their respective institutions and programs.

The other Tennessee Board of Regent institutions with baccalaureate and graduate programs are Austin Peay State University in Clarksville, East Tennessee State University in Johnson City, Middle Tennessee State University in Murfreesboro, Tennessee State University in Nashville, and Tennessee Technological University in Cookeville.

## **University Governance**

*The president* is the chief administrative officer of the University with broadly delegated responsibilities for all facets of campus management and operations. The president serves at the pleasure of the Tennessee Board of Regents and reports to the Board through the chancellor, and is the official medium of communication between the campus community and the chancellor. The provost and the vice presidents form an advisory group to the president.

*The provost* is the chief academic officer of the University. Reporting to the president, he or she has comprehensive responsibility for developing and implementing academic policies and priorities, and has responsibility for ensuring that the

University's teaching, research, and service missions are successfully implemented. He or she works closely with the deans and directors of the academic units to insure that the University recruits and retains high quality faculty who, in turn, offer optimal student experiences.

Other members of the executive team include the vice presidents for Business and Finance; Student Affairs; Information Technology; Communications, Public Relations, and Marketing; **and Research**; and the Athletic Director. The president is also assisted and advised by the Faculty and Staff Senates.

### **The University of Memphis Mission and Strategic Plan**

The University's mission and strategic plan are contained at <http://www.memphis.edu/stratplan>

### **Academic Units**

### **Academic Organization**

The academic programs of the University of Memphis are offered through the School of Law, School of Nursing, School of Communication Sciences and Disorders, School of Public Health, six colleges (Arts and Sciences; Business and Economics; Communication and Fine Arts; Education, Health, and Human Sciences; Engineering; and University College), the University Libraries, and a variety of service and research bureaus, institutes, and centers. Specific information regarding the academic programs are contained in the Undergraduate and Graduate Catalogs at <http://www.memphis.edu/ugcatalog/> and <http://www.memphis.edu/gradcatalog/>

## **Accreditation**

The University of Memphis is accredited by the Commission of Colleges of the Southern Association of Colleges and Schools to award bachelor's, first professional, master's, educational specialist, and doctoral degrees. Individual programs that are accredited can be found at <http://www.memphis.edu/acadaassessment/>

## **Standing Committees of the University**

*Standing Committees of the University* report to the officials listed below. The membership of all standing committees should reflect the diversity of the University community. Names of committee chairs and the membership can be obtained from the offices of the designated officials.

### **President**

- Faculty Athletics Committee
- Faculty Tenure and Promotion Appeals Committee
- Policies Review Board
- **Honorary Degree**

### **Provost**

- Academic Freedom and Responsibility
- Enrollment Management and Retention Council
- Grade Appeals
- Intellectual Property
- Program Assessment
- Provost Council
- Space Policy Council

### **Vice President for Research**

- **Institutional Animal Care and Use**
- **Biological Safety**
- **Chemical Hygiene**
- **Radiation Safety**
- **Institutional Review Board for Rights of Human Subjects**

### **Vice President for Student Affairs**

- Academic Integrity Committee
- Behavioral Standards Committee
- Dining Services Committee
- University Appeals Committee

### **Vice President for Business and Finance**

- Facilities and Services
- Fee Refund and Appeals
- Traffic and Parking Authority
- Public Records

### **Chief Information Officer for Information Systems**

- Information Technology Policy & Planning Council
- Teaching and Learning Advisory Committee
- Research Advisory Committee
- Information Security Advisory Committee (ISAC)
- Enterprise Systems Advisory Committee (ESAC)
- Deans TAF Committee
- Student Advisory Committee

### **Vice President for Marketing and Advancement**

- Gifts in Kind

**Standing Committee:  
Academic Freedom and  
Responsibility**

#### **CHARGE**

#### **Membership**

Eleven (11) members, including nine (9) faculty members, elected for two-year terms by the Faculty Senate. Six faculty members will be replaced in even-numbered years; three faculty members will be replaced in odd-numbered years. The Provost and the President of the Faculty Senate will serve as ex officio members.

## **Purpose**

The Academic Freedom and Responsibility Committee is charged with responsibility for hearing faculty grievances when a faculty member's academic freedom is challenged and for hearing cases when a faculty member is charged with failure to maintain professional standards.\*

The University's position on academic freedom is outlined in Policy Number 5:02:03:10 of the State Board of Regents *Policy and Procedure Manual*, and in the University of *Memphis Faculty Handbook*, in the chapter entitled Academic Freedom and Faculty Roles.

## **Process**

An appeal to the Academic Freedom and Responsibility Committee will be filed in the Office of the Faculty Senate when a faculty member's academic freedom is challenged. An appeal will be filed in the Office of the Provost when a faculty member is charged with failure to maintain professional standards.

The committee shall meet when an appeal is filed and will review the purpose and authorizing documents of the committee and review the complaint.

## **Annual Report**

If any appeals are processed during the year, the Committee chair will prepare an annual report stating the disposition of the appeal(s). This report will be forwarded to the Provost no later than July 15.

\*Note: Charges for faculty misconduct in research will not be heard by the Academic Freedom and Responsibility Committee. Such misconduct is governed by University policy 2B:01:12A.

## **PROCEDURES**

### **I. Mandate**

A. The Committee is responsible for hearing grievances related to the University's policies on academic freedom and responsibility.

B. The University's position on academic freedom is outlined in Policy Number 5:02:03:10 of the State Board of Regents *Policy and Procedure Manual*, and in the University's *Faculty Handbook*.

C. After hearing a case, the Committee will make a recommendation about its disposition to the Provost.

D. The Committee will meet when a grievance is filed. If a grievance is filed during an academic year, the chair of the Committee will submit, no later than July 15, an annual report to the Provost, stating the disposition of the case.

## II. Membership and Voting

A. The Committee will consist of eleven members, including nine faculty members, elected for two-year terms by the Faculty Senate. The Provost and President of the Faculty Senate will serve as *ex officio* members. *Ex officio* members of the Committee may attend a hearing, but will not participate in the deliberations of the Committee.

B. The Committee will elect a Chair at its first meeting in the academic year. The Chair will serve for one year.

C. A member of the Committee shall recuse herself/himself from deliberations when he or she has a conflict of interest.

D. In the event of a vacancy on the Committee, the Faculty Senate shall appoint a replacement.

E. Each decision will be made by majority vote, although minority views may be expressed in the final recommendation.

## III. Timelines and the Hearing Process

A. The Chair of the Committee shall forward a grievance to the respondent within seven days after it is filed, with instructions to respond within fifteen days. In consultation with the Committee, the Chair has the discretion of extending this deadline. The response shall contain the name, address, telephone number, and e-mail address of the respondent, along with a written statement of the respondents position on the issue.

B. The Committee will schedule a hearing date. The hearing should begin within sixty days of the filing of the grievance. The

Chair will notify the grievant and the respondent in writing of the date of the hearing and describe to them, orally and in writing, the procedures of the Committee.

C. No later than fifteen days before the hearing date, the grievant and respondent will submit to the Committee complete written documentation of the grievance and a list of witnesses.

D. The Chair of the Committee may meet with the parties a week before the hearing in order to narrow the issues, and to discuss the number of witnesses and documents, and any related matters.

E. At the completion of the hearing, the Chair of the Committee will notify the parties that within thirty days the Committee will submit a recommendation and report to the Provost.

#### IV. Procedures at the Hearing

A. Each grievant and respondent may choose an advisor, drawn from the general faculty, who may advise them during the proceedings.

B. In the interest of fair treatment, it is expected that any member of the University community called to give testimony will testify.

C. The grievant and respondent will hear all testimony.

D. Generally, the Committee will allow witnesses to testify and documents to be presented that are related to the appeal or the response. Each witness shall only be permitted to attend the hearing when testifying or after having given testimony.

E. The Chair of the Committee may call one or more witnesses upon request of either party or on the Chair's initiative. The Chair may also require the production of books, records, or other evidence. Request [s] shall be made either by personal delivery or certified mail.

F. The Chair of the Committee shall send a copy of the written documentation and witness lists submitted by the grievant and the respondent to the Committee members within three working days after receipt. The grievant's witness list and documentation will be forwarded to the respondent, and vice versa.



G. Each party may present an opening statement of her or his position. Generally, the grievant will then present all of her or his witnesses and documents. The Committee may question the witnesses and ask questions about documents presented. The respondent may question the grievant and her or his witnesses. After the grievant has presented her or his case, the respondent shall have an opportunity to present witnesses and documents, and the Committee members may question the witnesses and ask questions about documents presented. The grievant may question the respondent and her or his witnesses. The members of the Committee may question both parties throughout the hearing.

H. The Committee will not be bound by strict rules of legal evidence and may admit any evidence of probative value in determining the issues involved.

I. Each hearing shall be recorded on tape. Deliberations are not part of the hearing.

J. Generally, hearings will be open to the public.

K. Unless there are overriding reasons not to, the grievant and respondent shall have access to all information that is presented at the hearing.

**Standing Committee:  
University Council for  
Graduate Studies (UCGS)**

The University Council for Graduate Studies shall be composed of two ex officio members and twenty-one voting members. The ex officio members shall be the Vice Provost for Graduate Studies and the Coordinator of Graduate Systems. Voting members shall be the Directors of Graduate Studies (one from each of the graduate colleges and schools: College of Arts and Sciences, Fogelman College of Business and Economics, College of Communication and Fine Arts, College of Education, Health and Human Sciences, Herff College of Engineering, the School of Communication Sciences and Disorders [AUSP], Loewenberg School of Nursing, the School of Public Health, and University College), the president of the Graduate Student Association (GSA), eleven Graduate Faculty representing the various graduate colleges, and one representative elected by the Faculty

Senate. In recognition of the various college and school discipline areas and the population of graduate faculty, the following formula allotment has been determined:

ARTS AND SCIENCES	3
BUSINESS AND ECONOMICS	2
COMMUNICATION AND FINE ARTS	2
EDUCATION	2
ENGINEERING	2

The duties and responsibilities of the university council are to consider proposals to change graduate admissions; graduate curriculum, including courses, majors, minors, degrees, and programs; graduate policies and procedures; and research policies and procedures. Proposals approved by the university council and the assistant vice provost for graduate studies are forwarded, when necessary, to the provost for appropriate University and State review. The university council hears and acts upon appeals from students denied admission to a graduate program and on other academic appeals from graduate students (except grade appeals), which have not been resolved at a lower level. The university council also establishes criteria for membership on the graduate faculty.

**Standing Committee:  
Institutional Animal Care and Use**

**STATUTORY RESPONSIBILITY:** This is the Institutional Animal Care and Use Committee required by the Animal Welfare Act (9 CFR Ch1, Subchapter A, 1992) and U.S. Public Health Service Regulations.

**MEMBERSHIP:** At least eight voting members who are knowledgeable about the care and use of animals in instruction and research. Statute requires that (i) the Chairperson and all members of this Committee be appointed by the President of the University; (ii) at least one member shall be a doctor of veterinary medicine, (iii) at least one member shall be a community representative with no other connection with the

University, and (iv) no more than three members of the committee may be members of the same department. The Assistant Vice President of Physical Plant and the Vice Provost for Research will serve as ex-officio, non-voting members of the Committee. Other non-voting members may be appointed by the President at the Presidents discretion.

**REPORTS TO:** Vice-Provost for Research acting on behalf of the Provost and the President as the institutional official responsible for compliance with the Animal Welfare Act.

**PURPOSE:** This Committee shall review and approve, require modifications in, or disapprove, any proposed activity involving the maintenance or use of animals in teaching or research on the University of Memphis campus or as a part of any university instructional or research activity, as provided by the Animal Welfare Act and PHS regulations. It will also review, at least once every six months, the University's program for the humane use and care of animals and shall inspect, at least once every six months, all of the University's animal study areas. It shall also review and, if warranted, investigate any complaints from the public or university personnel involving the care and use of animals under university auspices.

**MEETINGS:** The Committee will normally meet monthly throughout the calendar year. The Chairperson may cancel meetings if there are no matters for review, and may call additional meetings if required to fulfill Committee responsibilities. Members terms shall expire on publication of a new membership list as approved by the President at the beginning of each fall semester. The President, shall, however, appoint additional members to replace those who resign during the year as quickly as practicable. Members who miss three consecutive meetings are presumed to have resigned.

**ANNUAL REPORT:** Due on or before July 15 and shall contain at least the following information: a summary of all approvals, disapprovals, investigations and inspections conducted by the committee, a description of any major issues or unsolved problems identified by the committee, together with proposed solutions or recommendations for action and any recommendations for membership on the following years committee.

**Standing Committee:  
Biological Safety**

The Biological Safety Committee shall be responsible for the following:

1. governing the development and implementation of the University Biosafety Program;
2. reviewing the Biosafety Program on an annual basis;
3. authorizing recombinant DNA protocols requiring approval, and
4. recommending appropriate corrective actions for individuals or departments violating applicable statutes, codes, regulations, or internal policies and procedures.

**Meetings:** The Biological Safety Committee shall meet at least annually and as necessary to carry out the duties of the Committee.

**Composition:** Committee members shall be appointed by the President based on their knowledge and experience with biological agents. The committee shall consist of at least six (6), but not more than nine (9), members who should include qualified faculty and staff. Ex-officio members will include the Director of Environmental Health and Safety and the Laboratory Safety Specialist for the Environmental Health and Safety Section.

**Reports to:** The Vice **President** for Research.

**Annual Report:** An annual report should be submitted to the Vice **President** for Research by July 15 of each year.

**Standing Committee: Chemical  
Hygiene**

The Chemical Hygiene Committee shall be responsible for the following functions:

1. Governing the development and implementation of the Laboratory Chemical Hygiene Program;
2. Reviewing the Laboratory Chemical Hygiene Program on an annual basis; and
3. Recommending appropriate corrective actions for individuals or departments violating applicable statutes, codes, regulations, or internal policies and procedures.

**Meetings:** The Chemical Hygiene Committee shall meet at least annually and as necessary to carry out the duties of the committee.

**Composition:** Committee members shall be appointed by the President based on their knowledge and experience with chemical use in academic laboratories. The committee shall consist of at least six (6), but not more than nine (9), members who should include qualified faculty and staff selected from departments which use hazardous chemicals in laboratories. The Chemical Hygiene Officer shall be appointed to the committee and should serve as secretary to the committee. The chair shall be elected by the committee and be approved by the Vice **President** for Research.

**Reports to:** The Chemical Hygiene Committee reports to the Vice **President** for Research.

**Annual Report:** An annual report should be submitted by July 15 of each year.

**Standing Committee:  
Enrollment Management  
Planning Group**

The Enrollment Management Planning Group (EMPG) is the core planning group for the strategic enrollment plan. This committee is the coordinating committee for enrollment planning implementation. It exists in partnership with other institutional committees that focus on retention, recruitment, transfer, student involvement, scholarships, and orientation as they impact the enrollment goals of the institution. Any partner committees should consist of appropriate members of the Enrollment Management Planning Group as well as extended membership from the campus community for purposes of expertise and campus functional roles. The EMPG does not have an oversight or management function for programs and other committees on campus, but functions as the core committee for communication and collaboration as well as a recommending body to the senior leadership on issues of strategic enrollment initiatives and implementation.

The EMPG is chaired by the Vice Provost for Enrollment

**Membership:**

Vice Provost for Enrollment

Director of Institutional Research

Director of Admissions

Assistant Vice President for Finance

Director of Budgeting

Vice President Communications, Marketing, and Public Relations  
Assistant Vice President for Student Affairs Student Development  
Assistant Vice Provost Student Affairs Campus Services  
Vice Provost for Graduate Programs  
Faculty and Dean Representatives

**Standing Committee:  
Radiation Safety**

**PURPOSE:** The Radiation Safety Committee governs the possession and use of radioactive materials and other sources of radiation at the University of Memphis. By ensuring compliance with all applicable state and federal statutes and regulations, the committee fosters an environment that promotes the safe use of radiation in teaching and research. Duties of the committee shall include:

1. Preparing, or causing to be prepared, a radiation safety manual which delineates policies, procedures, and control measures for the possession and use of radioactive materials and radiation producing devices;
2. Receiving and reviewing reports on:
  - o proposed changes to procedures, equipment, or systems as required in the radiation safety manual;
  - o tests or experiments not previously reviewed and approved by the Committee;
  - o violations of applicable statutes, codes, regulations, technical specifications, license requirements, internal procedures and instructions;
  - o radiological events which have been reported to the U.S. Nuclear Regulatory Commission or Tennessee Division of Radiological Health; and
  - o other topics of concern.
3. Approving experimental procedures and related items as outlined in the radiation safety manual;
4. Imposing appropriate sanctions for individuals or departments violating applicable statutes, codes, regulations, technical specifications, license requirements, internal procedures and instructions; and
5. Serving in an advisory capacity to the President of the University in matters related to safety and health of personnel, and for the acquisition, use, and distribution of radioactive materials and radiation producing devices.

**MEETINGS:** The Radiation Safety Committee shall meet at least quarterly.

**COMPOSITION:** Committee members shall be appointed by the President of the University on the basis of their knowledge and experience with radiation and radioactive materials. The committee shall consist of at least six (6), but not more than nine (9), members who may include faculty and staff. The Radiation Safety Officer shall be appointed to the committee and should serve as secretary to the committee. The chair shall be elected by the committee and be approved by the Vice **President** for Research.

**REPORTS TO:** Vice **President** for Research.

**ANNUAL REPORT:** An annual report will be submitted by July 15 of each year.

**Standing Committee:**  
**Institutional Review Board for**  
**Human Subject Protection**

**STATUTORY RESPONSIBILITY:** This is the Institutional Review Board required by federal regulations 45 CFR 46 and 21 CFR 50.56 and by the policies of the Department of Health and Human Services (DHHS) including the National Institutes of Health and the Food and Drug Administration.

**PURPOSE:** This **Board** is responsible for the following functions.

1. Reviewing all research protocols in which the use of human participants as subjects is planned, except those which involve only procedures specifically exempt from review under current regulations. This review shall ensure that the rights and welfare of the participants involved are adequately protected, that the risks to an individual are outweighed by the potential benefits to that individual or by the knowledge to be gained, and that informed consent is to be obtained by methods that are adequate and appropriate.
2. Approving research protocols that it finds to be ethical and consistent with the appropriate laws and regulations, and to disapprove or require modification in protocols unacceptable under current standards of research conduct. Negative decisions by the **Board** may not be overruled by any officer of the University, but appeals of **Board** decisions may be heard as provided in the pertinent regulations.
3. Establish a basis for continuing review of approved activity in keeping with these determinations.

**REPORTS TO:** Vice President for Research.

**MEMBERSHIP:** The Institutional Review Board includes at least five voting members with diverse backgrounds, with at least one person with primary concerns in scientific areas and one with primary concerns in non-scientific areas. At least one member must be female; one person must not be otherwise affiliated with the University. Two staff members, one experienced research administrator qualified to interpret pertinent DHHS and other regulations, and one acting as Board secretary, serve as non-voting members. Normally, at least two of the Board members will have expertise in the behavioral sciences. In addition, not all of the voting members will be of the same racial background

**MEETINGS:** The Board shall normally meet monthly throughout the calendar year. The Chair may cancel meetings if there are no matters for review, and may call additional meetings if required to fulfill Board responsibilities. Member terms will expire on publication of a new membership list as approved by the Vice President for Research at the beginning of each fall semester. Members may, however, be reappointed for an indefinite number of terms. The Vice President for Research will appoint additional members to replace those who resign during the year as quickly as practicable. Members who miss three consecutive meetings are presumed to have resigned.

**ANNUAL REPORT:** Due on or before July 15 and shall contain at least the following information:

1. A summary of all approvals, disapprovals, and other actions taken by the Board;
2. A description of any major issues or unresolved problems identified by the Board together with proposed solutions or recommendations for action;
3. Any recommendations for membership on the following years' Board.

**Standing Committee: Grade Appeals**

**PURPOSE:** The student appeals procedure is designed to provide any undergraduate or graduate student at The University of Memphis with a clearly defined avenue for appealing the assignment of a course grade which he or she believes was based upon prejudice, discrimination, arbitrary or capricious action or other reasons not related to academic performance. Although the



primary responsibility of the Committee is to review appeals, the Committee is also charged with responsibility for reporting any obvious discriminatory or capricious conduct on the part of either the student or the instructor to the Provost for his/her consideration and action.

**PROCEDURE:** After a course grade has been appealed to the instructor, the department chair, and the dean, the student or the faculty member may request a hearing before the University Grade Appeals Committee. If the Committee finds the students or the instructors request merits a hearing, the Committee notifies the student, the instructor, the chair, and the dean of the time and location of the hearing. If the committee finds that the request does not merit a hearing, the student or the instructor shall be so notified. Based on its appeal process, the Committee makes a decision as to whether or not the grade should be changed. The decision of the Committee is final.

**REPORT TO:** Provost

**MEMBERSHIP:** The Appeals Committee is composed of seven (7) members and seven (7) alternates constituted as follows:

- If the matter involves a graduate student, the Provost designates a member of the graduate faculty as chair. The other members will include a graduate faculty member and an alternate designated by the Vice Provost of Graduate Programs, two faculty members and two alternates elected by the Graduate Council, and three students and three alternates selected through the Graduate Student Association.
- If the matter involves an undergraduate student, the Provost designates a faculty member as chair. The other members will include a faculty member and alternate designated by the dean of the college involved, two faculty members and two alternates elected by the Faculty Senate, and three students and three alternates selected through the Student Government Association.

**MEETINGS:** An organizational meeting will be called as soon as the membership is confirmed to familiarize members with the committee purpose and to determine the schedule of future meetings. Thereafter, meetings will be held as necessary to fulfill the Committees functions.

**ANNUAL REPORT:** Due on or before July 15 and shall

contain at least the following information:

- Activities
- Issues
- Proposed solutions discussed by the Committee
- An outline of unresolved issues which might be considered, discussed, and acted upon during the next year
- A report on contributions of committee members
- Any recommendations for membership of the following years committee.

For additional information concerning process, see chapter entitled "Instruction."

**Standing Committee:  
Undergraduate Council**

## **BYLAWS OF THE UNIVERSITY UNDERGRADUATE COUNCIL**

### ***ARTICLE I***

#### NAME

The name of this organization shall be the University Undergraduate Council (hereinafter referred to as the UUC).

### ***ARTICLE II***

#### MISSION

The UUC acts on behalf of faculty in the governance of undergraduate programs and policies. It performs both as a policy-making body, subject to approval by the provost and president, and as an advisory body to the provost. The UUC will:

1. Review requirements and recommend action on both the lower and upper division graduation requirements, including general education requirements, and approval of courses for general education.
2. Propose through the vice provost for academic affairs to the provost and the president policies and procedures that influence the quality of undergraduate instruction and research programs.
3. Review proposals and recommend action on new or revised undergraduate programs and courses.

4. Advise the Vice Provost for undergraduate Programs on such matters as may be brought to the UUC.

*ARTICLE III*

Section 1: REPRESENTATION

The University Undergraduate Council shall be composed of fifteen voting members. Voting members shall be from each of the colleges and schools as described below, and a Faculty Senate representative. Eight ex officio members shall include the vice provost for undergraduate programs, vice provost for assessment, institutional research and reporting, assistant vice provost for academic programs and effectiveness, director of university honors program, registrar, university libraries representative, director of curriculum planning, director of the Academic Counseling Center, and a representative from the Student Government Association.

The number of representatives from each college or school will be the following:

Arts and Sciences	4
Business and Economics	2
Communication & Fine Arts	2
Education, Health, & Human Sciences	2
Engineering	2
Nursing	1
University College	1

Section 2: ELECTIONS / APPOINTMENTS

Each college or school shall establish criteria for election or appointment to the UUC that will ensure broad disciplinary representation. If in subsequent years there is a significant change to this distribution, the formula will be adjusted and

colleges/school notified.

Prior to the first meeting of the academic year the respective units shall forward the names of the newly elected or appointed members to the vice provost for academic affairs. At the meeting in September, the vice provost for academic affairs shall announce the newly constituted University Undergraduate Council. A two year term of service begins in September.

*Ex officio* members shall serve without vote.

#### *ARTICLE IV*

##### OFFICERS

The officers of the University Undergraduate Council shall be the vice provost for undergraduate programs and the director of curriculum planning. These officers shall perform the duties prescribed by these bylaws and the parliamentary authority adopted by the UUC.

#### *ARTICLE V*

##### MEETINGS

###### Section 1: REGULAR MEETINGS

The regular meetings of the UUC shall be held monthly during the academic semesters from September through May, unless otherwise requested by the chair or a majority vote of the UUC. If necessary, meetings may be scheduled during summer months by the chair.

Meetings of the UUC shall be chaired by the vice provost for undergraduate programs. In the vice provost's absence, the director of curriculum planning shall preside.

###### Section 2: SPECIAL MEETINGS

Special meetings may be called by the chair. The purpose of these meetings shall be stated in the call and, except in cases of emergency, a notice of at least five working days shall be given.

###### Section 3: ABSENCE OF MEMBERS

If for any reason a member of the UUC cannot attend a meeting, another faculty member from that college or school may be designated as proxy for voting purposes. The chair or secretary shall be notified prior to the meeting.

#### Section 5: QUORUM

Ten (10) voting members of the UUC shall constitute a quorum.

### *ARTICLE VI*

#### COMMITTEES

Standing or special committees shall be appointed by the chair as necessary to carry on the work of the UUC.

### *ARTICLE VII*

#### PARLIAMENTARY AUTHORITY

#### Section 1: PROCEDURE

The rules contained in the latest edition of Roberts Rules of Order Newly Revised shall govern the University Undergraduate Council to the extent that they are not inconsistent with these bylaws or with any special rules of order the UUC may adopt.

#### Section 2: OPEN MEETINGS

All meetings of the UUC shall be open to the university community. If confidential issues are on the table, then the chair has the power to call the UUC to executive session.

### *ARTICLE VIII*

#### AMENDMENT TO BYLAWS

These bylaws can be amended at any meeting of the UUC by a two-thirds vote, provided that the amendment has been submitted in writing at the previous regular meeting.

Approved by the University Undergraduate Council, December 10, 2004. Revised October 13, 2006.

Approved by the Provost

**Standing Committee: Space  
Policy Council**

**SPACE POLICY COUNCIL**

**Introduction**

The University's facilities are a resource that must be viewed from a comprehensive institutional perspective. In order to address changing programmatic space needs, the University must develop effective methods to analyze and evaluate space requests and allocate facility resources. This will be accomplished through the establishment of a University Space Policy Council through the Office of the Provost. The President will appoint members to the Space Policy Council on an annual basis. The Chair and Vice Chair shall be appointed by the President from among the voting members.

**Composition**

Representative from the Office of the President

Representative from the Provost Office

Representative from Business and Finance

Representative from Advancement and Marketing

Representative from Information Technology

Representative from Student Affairs

Representative from Communications, Public Relations & Marketing

Representative from Research Office

Dean of Arts & Sciences

Three Deans from colleges other than Arts & Sciences

Representative from the Office of the Registrar

Representative from the Student Government Association

Chair and Co-Chair of the Facilities and Services Committee

Faculty Senate representative

Staff Senate representative

Director for Space Planning and Utilization , ex-officio

Space Analyst for Space Planning and Utilization (ex-officio, recording secretary)

### **Charge**

The Space Policy Council is a decision-making body regarding space issues. As such, it will provide a forum for the discussion and approval of individual space requests, campus-wide space plans, plans for new space, space utilization reports, policies and procedures regulating the use of facilities, and other critical space planning issues that require policy level deliberation. A few decisions are of such magnitude that deliberation and support from the Executive Officers of the University are needed for a high probability of successful implementation. In such circumstances, the Council may be called upon to provide an analysis of options and a recommendation for consideration, including legal, environmental, and budgetary issues.

The Council Chair and Vice Chair, in consultation with the Director for Space Planning and Utilization, will work with the Provost to determine if a space issue has potential policy ramifications and thus should be placed on the agenda for a regular Council meeting. Agenda items should be established prior to the meeting date so that materials for discussion can be made available to Council members in advance.

The Chair and Vice Chair will preside over regular Council meetings and will coordinate with the Provost to ensure that activities are aligned in such a way as to be most beneficial to the decision-making process and a productive operational environment.

The Council will be responsible for obtaining input from various sources as appropriate and may create advisory sub-committees to examine and recommend decisions about specific issues. However, the Council will consult with the Provost before delegating specifically stated decision-making authority,

such as the prioritization of requested modifications.

NOTE: The Council will not be responsible for event scheduling, assignment of space for events, or assignment of space for classes. However, changes in classroom usage to something other than a classroom category requires the approval of the Council.

### **Guidelines for Council Operation**

The Space Policy Council consists of members representing constituencies from all segments of the University. Members will simultaneously represent both the overall University and their constituency area. Members should strive to cultivate good communication links to solicit input and to provide feedback to constituencies regarding the rationale leading to decisions, standards, or policies. Each member should use his or her foremost judgment, based upon an understanding of what constitutes the best overall solution for the institution as a whole. When recommendations have been reached members need to assume responsibility, wherever possible, to assure outcomes that contribute to the mission, goals, and best interest of the University.

As a policy-oriented body, the Councils primary focus should be on the following points:

- (1) to assure that the space process is functioning productively;
- (2) to define and prioritize parameters and processes to be utilized in operational decision-making,
- (3) to define and approve policies and procedures, including detailed forms and instructions for requesting space use changes,
- (4) to ensure that recommendations from the advisory sub-committees have appropriately considered options, costs, and benefits and determine if additional analysis should be conducted; and
- (5) in a few circumstances where a decision between alternatives has policy or program implications, to weigh the competing options based on the best interests of the institution as a whole and recommend to the Provost which option to implement.



Any Executive Officer of the University may request the Provost to review such a recommendation if it has policy or operational impacts upon his/her administrative unit.

### **Role of the Director for Space Planning and Utilization**

The Director for Space Planning and Utilization will process routine space assignments that do not require Council action. Examples of these assignments are:

- Reassignment of offices within a department/unit due to turnover of employees.
- Temporary assignments to allow construction or space renovations to occur.
- Allocation of space that is unsuitable for occupation or use other than temporary storage.

The Director will also work with the University faculty and staff to acquire input on space issues, requests, proposals, and to provide technical assistance and guidance to the Council. As an ex-officio, non-voting, member the Director for Space Planning and Utilization will:

1. Develop and maintain long-range space utilization plans for all University facilities with input from the Council.
2. Develop and recommend space assignment policies and procedures, with input from the Council, for the University in accordance with THEC standards.
3. Support the Councils efforts to consider requests and recommend changes in space utilization within existing buildings; prepare data analysis reports and impact reports as required for inclusion with Council recommendations.
4. Support the Councils efforts to recommend the assignment of space within new buildings or buildings that have been vacant and are being reoccupied.
5. Review the leasing to non-University occupants of any real property assigned to the University, including land, buildings, and other improvements.
6. Review the leasing by the University of any non-University real property, including land, buildings, and other improvements.

Agenda items should be submitted prior to the meeting date so that materials for discussion can be made available to Council members in advance. The chair and vice chair will review requests with the Provost to set the agenda for the Council meetings and determine what additional information is needed to

ensure the meeting is productive.

### **Meetings**

Meetings will be held monthly, or as necessary.

### **Annual Report**

Due on or before July 15 and shall contain at least the following information: log of requests received with note of disposition, such record to be open to the University community; assignments recommended by the Committee; unresolved space requests; an outline of unresolved issues which might be considered, discussed, and acted upon during the following year; a report on contributions of Committee members; and any recommendations for membership on the following years Committee.

## Chapter 2 - Academic Freedom and Faculty Roles

---

### Contents

---

#### Faculty Roles

- [Academic Freedom](#)
  - [Professional Ethics and Misconduct in Research](#)
  - [American Association of University Professors](#)
  - [Department Chairs](#)
  - [Chairs of Excellence](#)
  - [Faculty Administrators](#)
  - [Faculty Ombudsperson](#)
  - [Faculty Grievance Committee](#)
  - [Graduate Faculty Status](#)
  - [Faculty Senate](#)
  - [Faculty Senate Constitution, Special Rules of Order and Standing Rules](#)
- 

#### Faculty Roles

---

#### **Academic Freedom and Responsibility**

The following policy of the Tennessee Board of Regents on academic freedom and responsibility is applicable to all universities/colleges within the System. The statement in Article II on academic freedom and responsibility may be adopted by each university/college, or a university/college may adopt an alternative statement provided that the statement is consistent with the policies set forth herein.

University/college policies on academic freedom and responsibility must cite and specifically acknowledge compliance with the Board Policy on Academic Freedom and Responsibility (5:02:03:00). Likewise, university/college policies must embody and communicate clearly as a minimum all provisions, definitions, and stipulations of the board policy.

- The faculty member is entitled to freedom in the classroom in

discussing his or her subject, being careful not to introduce into the teaching unrelated subject matter.

- The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties. Research for financial gain must be based upon an understanding with the authorities of the university, which is documented reduced to writing and signed by the faculty member and the appropriate academic officer(s).
- The faculty member is a citizen, a member of a learned profession, and an officer of an educational university/college. Academic freedom includes the freedom to speak or write without institutional discipline or restraint on matters of public concern as well as on matters related to professional duties and on matters involving the academic and administrative functioning of the university/college. When the faculty member speaks or writes as a citizen, he/she should be free from university/college censorship or discipline, but his/her special position in the community imposes special obligations. As a man or woman of learning and an educational officer, he/she should remember that the public may judge the profession and the university/college by the faculty member's utterances. Hence, a faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the university/college.

Academic freedom is essential to fulfill the ultimate objectives of an educational university/college – the free search for and exposition of truth – and applies to participation in shared governance as well as teaching and research. Freedom in research is fundamental to the advancement of truth, and academic freedom in teaching is fundamental for the protection of the rights of the faculty member in teaching and of the student to freedom in learning. Freedom in shared governance is fundamental to the development and maintenance of effective academic policies, national and regional accreditation, and shared responsibility for the redelivery of educational products and services to students.

Implicit in the principle of academic freedom are the corollary responsibilities of the faculty who enjoy that freedom. Incompetence, indolence, intellectual dishonesty, failure to carry out assigned duties, serious moral dereliction, arbitrary and capricious disregard of standards of professional conduct – these and other grounds as set forth in TBR Policy, “Policy on Academic Tenure at Tennessee Board of Regents’ Universities, “Section P., may constitute adequate cause for dismissal or other

disciplinary sanctions against faculty members subject to the provisions of Article III.

The right to academic freedom imposes upon the faculty an equal obligation to take appropriate professional action against faculty members who are derelict in discharging their professional responsibilities. The faculty member has an obligation to participate in tenure and promotion review of colleagues as specified in university policy. Thus, academic freedom and academic responsibility are interdependent, and academic tenure is adopted as a means to protect the former while promoting the latter. While academic tenure is essential for the protection of academic freedom, all faculty members, tenured or non-tenured, have an equal right to academic freedom and bear the same academic responsibilities implicit in that freedom.

**Professional Ethics and  
Misconduct in Research**

Unethical conduct in teaching, research, scholarship, or service constitutes a serious breach of academic integrity that undermines the University's scholarly and educational purpose. If substantiated, such misconduct may be cause for disciplinary action, including termination for adequate cause subject to the provisions of the University's policy and procedure on academic tenure. Unethical conduct includes, but is not limited to, the fabrication, falsification, plagiarism, or other serious unethical or illegal deviations from accepted practices within a discipline. Further information regarding this issue may be found in the University's policy and procedure on professional ethics/misconduct in research.

**American Association of  
University Professors**

Founded in 1915, the American Association of University Professors (AAUP) is dedicated to facilitating a more effective cooperation among teachers and research scholars in universities, colleges, and professional schools; to promoting the interests of higher education and research; and in general to increasing the usefulness and advancing the standards, ideals, and welfare of the profession. AAUP works to defend academic freedom and tenure, advocates collegial governance, and develops policies ensuring due process. More about AAUP is available on the web at [www.aaup.org](http://www.aaup.org).

## Department Chairs

Outstanding faculty are appointed to administer the University's academic departments in various disciplines and fields. Faculty holding appointments as chairs are considered to be academic leaders, and as such, often will be consulted by the provost and their deans regarding development and implementation of academic policy. Although chairs report to the deans of their colleges, the provost may consult them in many matters concerning academic governance.

A faculty member appointed to a chair's position will also hold a tenure-track appointment in one of the academic departments at the university. Tenure-track appointments are subject to the same rules and conditions applicable to all tenure-track appointments. Following the award of tenure, faculty members holding an appointment as a chair remain subject to the same rules and conditions applicable to all tenured appointments.

Faculty holding appointments as chairs may receive administrative salary supplements and other forms of fiscal and staff support for their research and/or other scholarly activity. When possible, faculty holding chairs are expected to continue to teach, maintain active research programs and provide service to the University and to the community. Chairs will be evaluated annually by the dean of their college or school and by all tenured, tenure-track and untenured faculty members within their departments. Every five to seven years, the dean will conduct a review of each chair holder. Failure to continue to perform at a high level of administrative excellence could lead to removal from the chair, and the loss of the associated benefits accruing to the faculty member in his or her status as a chair holder.

The department chair occupies one of the most complex and demanding positions in the University, with widespread responsibilities to faculty members, students, and administrative officers. The position is filled by local administrative appointment following a search and selection process that involves the faculty in the recommendation of qualified candidates. University administrators who have responsibility for appointing department chairs should ensure that such appointments are judged acceptable by the majority of the faculty in a department, except under unusual circumstances. The chair's performance is evaluated regularly by faculty members in the department and by the dean at least annually; service in the position is at the discretion of the dean. Some of the chair's specific administrative responsibilities include:

- Organizing the department in such a way that the total program will be served effectively
- Developing a set of department policies, supplementary to and consistent with those of the college and University
- Providing leadership in departmental planning
- Assisting in developing a continuing education program
- Developing and administering the department's budget
- Supervising the department's secretarial and support staff
- Preparing class schedules and teaching assignments
- Supervising and managing the physical facilities under the department's jurisdiction
- Promoting positive interpersonal relations
- Serving as a link between the department and the university administration

The chair's faculty responsibilities include:

- Recruiting capable faculty members (in concerted effort with the faculty and with the concurrence of administrative officers)
- Encouraging and rewarding excellence in teaching, research and creative endeavors, and service
- Assisting and encouraging faculty in securing outside funding for research
- Evaluating faculty performance annually
- Recommending faculty members for tenure, promotion, salary adjustments, continuing education assignments, and graduate faculty memberships
- Serving as a link between faculty and University administration

The chair's student responsibilities include:

- Establishing an effective advising system
- Ensuring that students meet degree requirements
- Administering a graduate assistantship program
- Conferring with students about policies and practices of the department, the college, and the university
- Assisting students in solving problems relating to academic matters
- Assisting in student recruitment

## **Chairs of Excellence**

### **Role of the Chair of Excellence**

Outstanding faculty are appointed to fill the University's endowed Chairs of Excellence in various disciplines and fields. Faculty holding appointments as Chairs of Excellence are considered to be academic leaders, and as such, often will be consulted by the Provost and their Deans regarding development

and implementation of academic policy. Although Chairs of Excellence report to the Chair of their home department regarding departmental matters, they often interact directly with the Deans and the Provost in many matters concerning academic governance.

A faculty member appointed to a Chair of Excellence will also hold a tenure-track appointment in the faculty member's home department or academic unit. The tenure-track appointment is subject to the same rules and conditions applicable to all tenure-track appointments. Following the award of tenure, faculty members holding an appointment as a Chair of Excellence remain subject to the same rules and conditions applicable to all tenured appointments.

Faculty holding appointments as Chairs of Excellence may receive salary supplements and various forms of fiscal and staff support for their research and/or other scholarly activity. Faculty holding Chairs of Excellence are expected to continue to perform at the same level of research and/or scholarly excellence that led to their appointment in a Chair of Excellence. Faculty members holding Chairs of Excellence will be evaluated annually by their department chair or the head of their academic unit. In addition to the annual review, the Provost will form a committee to conduct a more comprehensive review of the Chair's work every seven (7) years. The committee will include the Provost, Dean and Department Chair (or in cases where there is no departmental unit, the person who conducts the chair's annual evaluation). Documents submitted for review should include the Chair's original contract, copies of annual performance evaluations, an updated curriculum vitae, and a brief status report. This report should summarize the Chair's professional work over the previous seven years in light of expectations stipulated in the contract, any revisions which had been made in those plans over the intervening years, and the directions the Chair plans to take over the upcoming years in his/her professional work.

Each member of the committee should review the documents submitted by the Chair individually and then meet as a group with the Chair to conduct the planning and review process. Once the review is completed, the Provost will have responsibility for making the final assessment of the prior performance and future plans of the Chair based upon his/her consultation with the other committee members. Failure to continue to perform at a high level of research and scholarly



excellence could lead to removal from a Chair of Excellence, and the loss of the associated benefits accruing to the faculty member in his or her status as a Chair holder.

### **Faculty Administrators**

Because of their experience in academics, faculty administrators have critical management positions at the University of Memphis. Their administrative responsibilities, however, do not preclude them from participating in the teaching, scholarship/research, and outreach/service activities of their departments. Rather, they are strongly encouraged to participate in departmental responsibilities as long as these responsibilities are compatible with their administrative duties.

### **Faculty Ombudsperson**

#### **Role:**

The University of Memphis Faculty Ombudsperson is an independent, confidential and impartial resource available to the faculty to facilitate cooperation and consensus through education and mediation. The Ombudsperson is a designated neutral or impartial dispute resolution practitioner whose major function is to provide confidential and informal assistance to all faculty of the institution. Serving as a designated neutral, the Ombudsperson is neither an advocate for any individual nor the organization, but rather, serves as an advocate for fairness who acts as a source of information and referral, aids in answering questions, and assists in the resolution of concerns and critical situations. More specifically, the Ombudsperson engenders awareness and skill development in the areas of conflict resolution, communication, team building and civility. In a neutral and impartial role, the Ombudsperson assists tenured, tenure-track, clinical, research, and one-year instructors to resolve complaints with the goal of promoting alternatives to adversarial processes.

The Ombudsperson maintains collaborative relationships with other University offices (e.g., Academic Affairs, Human Resources, Affirmative Action, and Student Affairs), but the Ombudsperson does not replace the University's existing resources for

conflict resolution. Staff and student conflicts should be directed to the Department of Human Resources and the Division of Student Affairs respectively.

## **Responsibilities**

### Dispute Resolution/Consultation and Referral

- Provide impartial and confidential consultation to members of the college/university faculty community who are aggrieved or concerned about an issue
- Remain independent, neutral and impartial, and exercise good judgment
- Assist inquirers in interpreting college/university policies and procedures, seeking input from appropriate offices when needed
- Provide assistance to inquirers by clarifying issues and generating options for resolution
- Facilitate the inquirer's assessment of the pros and cons of possible options
- If direct action by the ombudsperson may be an appropriate option, obtain the inquirer's agreement and permission before proceeding
- If necessary, and while maintaining confidentiality, conduct appropriate informal fact finding in order to better understand an issue from all perspectives
- Consult with faculty to develop cooperative strategies for complaint resolution
- With the inquirer's permission, consult with all parties to clarify and analyze problems, focus discussions, and develop a mutually-satisfactory process for resolution
- When appropriate, facilitate group meetings, use shuttle diplomacy, or negotiation skills to facilitate communication among parties in conflict
- When legal and/or disciplinary issues arise, the Ombudsperson refers the case to the appropriate unit of the University.

## **Policy Analysis and Feedback**

- Serve as a campus resource for officials in formulating or modifying policy and procedures, raising issues that may surface as a result of a gap between the stated goals of the institution and actual practice
- Based on anonymous aggregate data, prepare an annual report to the Faculty Senate, the Provost, and the university

President, that discusses trends in the reporting of grievances and concerns, identifies patterns or problem areas in university/college policies and practices, and recommend revisions and improvements, where appropriate.

- Act as a liaison between individuals or groups and the campus administrative structure, serving as a communicator or informal facilitator, as appropriate
- Function as a sensor within the campus community to identify problems or trends that affect the faculty.
- Provide early warning of new areas of organizational concern, upward feedback, critical analysis of systemic need for improvement, and recommendations of systemic changes

### **Community Outreach and Education**

- The ombudsperson is responsible for on-going education and communication about the office's role to all potential inquirers as well as to university leadership

### **Reporting:**

The Ombudsperson reports to the University President.

### **Term of Office:**

The Ombudsperson will serve a two year term of office.

### **Selection:**

Nominations for Ombudsperson will be solicited 90 days before the end of the current Ombudspersons term. A Committee of six persons will review nominations for Ombudsperson. Three members of the selection committee will be appointed by the Faculty Senate and three members will be appointed by the President. The Faculty Senate will make the selection of the Ombudsperson, subject to the President's approval.

**Faculty Grievance Committee** The Faculty Grievance Committee, consisting of nine (9) faculty members appointed by the Faculty Senate, provides an avenue of

appeal for faculty who feel mistreated in their relationship(s) with other faculty members or with administrators of the University of Memphis. In addition, the Grievance Committee provides a source of appeal for tenured faculty who feel they have been unfairly treated during annual evaluations. The Faculty Grievance Committee provides advice to faculty members bringing a grievance, decides to accept or reject submitted grievances, investigates grievances, mediates when called upon, and makes recommendations to the president of the university. In addition, the Grievance Committee provides a source of appeal for faculty regarding their evaluations only based on claims of violation of academic freedom or failure to follow the proper procedures in conducting the annual evaluation. Matters regarding the substance of the evaluation are not subject to appeal.

**Graduate Faculty Status**

The University bestows the designation *graduate faculty* on individual faculty members following review of their credentials and recommendation by their colleagues. Applicants for graduate faculty status must show evidence of scholarly productivity. Once conferred, graduate faculty must submit evidence of continued scholarly productivity every five years in order to retain the status.

The graduate faculty support graduate programs by chairing and serving on graduate student committees, planning and designating graduate instructional programs, supervising graduate student research, participating in the design and review of policies governing graduate affairs, and discharging other duties critical to maintaining an effective graduate school.

The University of Memphis maintains four levels of graduate faculty: full, associate, adjunct, and affiliate. Only full graduate faculty members may chair doctoral committees. Only one adjunct or affiliate graduate faculty member may serve as a voting member on a master's or doctoral committee.

Graduate faculty membership is required to teach graduate only (7000, 8000 level) courses and seminars. A request from the appropriate department chair must be approved by the Vice Provost for Graduate Programs for an exception to this rule.

Information on the requirements for graduate faculty status and the application form are available through the Graduate School's website at [http://www.memphis.edu/gradschool/graduate\\_faculty/gradfactable.php](http://www.memphis.edu/gradschool/graduate_faculty/gradfactable.php)

## **Faculty Senate**

*The Faculty Senate* is composed of elected faculty members. Administrators participate as observers by invitation. The Senate's Constitution defines its purpose as follows:

- serve as the primary vehicle of faculty participation in the establishment of University policies;
- evaluate and make recommendations on policy in academic and closely related areas that touch on academic matters;
- approve graduation and general education curriculum requirements;
- evaluate and make recommendations on University-wide minimum criteria for faculty appointment, promotion, and tenure;
- evaluate and make recommendations on policies associated with conditions of employment;
- evaluate and make recommendations on policies for the academic use and operation of various academic support functions including the University Library and Computer Services, the University calendar and other functions that directly affect academic matters;
- make recommendations on issues related to academic matters that are not specifically academic in nature;
- have responsibility for the maintenance of academic freedom and responsibility at the University;
- be the forum for the formulation of faculty opinion;
- review and approve the *Faculty Handbook* of The University of Memphis.

## **Faculty Senate Constitution, Special Rules of Order and Standing Rules**

The Constitution of the Faculty Senate can be found at <http://www.memphis.edu/facultysenate/articles.php#Constitution>

The Special Rules of Order for the Faculty Senate can be found at <http://www.memphis.edu/facultysenate/articles.php#SpecialRules>

The Standing Rules for the Faculty Senate can be found at <http://www.memphis.edu/facultysenate/articles.php#StandingRules>

## Chapter 3 - Faculty Personnel Policies

---

### Contents

---

#### Faculty Personnel

- **General Policies**
- **Affirmative Action/Equal Employment**
- **Faculty Applications**
- **Faculty Hiring**
- **Types of Appointments**
- **Minimum Requirements for Appointments, Tenure, and Promotion**
- **Terminal Degrees**
- **Language Proficiency**
- **Personnel Files and Disclosure of Records**
- **Nepotism**
- **Conflicts of Interests/Personal Benefits**
- **Sexual, Racial, and Other Harassment**
- **Drug-Free Campus and Alcohol Abuse Prevention**

---

#### Faculty Personnel

---

#### General Policies

All faculty appointments are subject to the guidelines, policies, and procedures of the Tennessee Board of Regents and the University of Memphis, including the University's policies and procedures regarding tenure and promotion, conflicts of interest, outside employment, research, intellectual property, illegal discrimination and sexual harassment. Members of the faculty should become familiar with the University's policies and procedures. Policy manuals are maintained on the University's website at <http://policies.memphis.edu/>.

**Affirmative Action/Equal Employment**

Faculty appointments are subject to the laws of the State of Tennessee, the requirements and policies of the Tennessee Board of Regents, and the requirements and policies of the University of Memphis, including conflicts of interest and personal benefits, discrimination, sexual harassment, outside employment, research, patents and copyrights, promotion, and tenure. It is the responsibility of faculty members as University employees to acquaint themselves with existing policies and policy revisions as they may occur. Policy manuals are maintained on the web (<http://policies.memphis.edu>).

For more information concerning the University's Affirmative Action/Equal Employment policies, please refer to UM1381 at <http://policies.memphis.edu/UM1381.htm>. For more information concerning the University's policy against discrimination based upon sexual orientation, please refer to Policy No.: 1:2A:12:05 at <http://policies.memphis.edu/12a1205.html>

**Faculty Applications**

The University advertises faculty positions in appropriate professional journals and other sources in order to encourage applications from faculty from diverse backgrounds. The university also posts all full-time faculty openings on the web at [workforum.memphis.edu](http://workforum.memphis.edu). Those interested in an open faculty position at the University of Memphis should electronically submit appropriate materials prior to the stated deadline. Application materials are reviewed by the appropriate departmental faculty. Applicants for faculty positions who are invited to the campus usually will meet with faculty members, chairs, deans, vice presidents, or others so that all parties may gain as much information and understanding as possible. Although information is shared and questions answered, the university cannot be committed in any way during these interviews. Note: Tenn. Code Annotated 49-5-406 requires applicants for faculty positions to disclose any prior criminal record and/or prior dismissals from employment for cause. Failure to comply with this law may result in fine, dismissal, or both.

**Faculty Hiring**

Faculty appointments, and all conditions related to them, are made only by the university president, in writing, subject to

appropriate approvals and policies of the Tennessee Board of Regents. All non-tenured faculty members are employed on an annual basis and are required to sign an employment agreement for each year of employment. Notice of any salary adjustments are sent to members of the faculty after the budget for the ensuing year is approved by the Tennessee Board of Regents.

## **Types of Appointments**

The following constitute the types of faculty positions that are recognized at the University of Memphis.

### **Temporary Appointments**

Temporary appointments ordinarily are made for instructors, adjunct or part-time faculty, faculty employed to replace regular faculty on leave of absence, and faculty employed on grants or for projects funded by non-appropriated funds. Temporary appointments may be made for faculty employed with state appropriated funds where the permanent and continued need for the position is not yet fully established, provided the appointment does not exceed three academic years. A temporary faculty position held by the same individual for three successive years must be advertised and must be the subject of a full search before the position may be filled for the next academic year.

Faculty appointed in temporary positions for terms of more than six months are eligible for University employment benefits. All temporary appointments may be terminated in conformance with the terms of the employment agreement.

### **Tenure-Track Appointments**

Tenure track appointments are appointments for full time faculty positions. Tenure track faculty are employed for a probationary period prior to consideration for tenure. Probationary appointments generally may not exceed a period of six years when tenure and promotion to associate professor would normally be considered. Extension of the probationary period will be considered only in conformance with the subsection of this *Handbook* entitled *Extension of Probationary Period*. Applications for *early* tenure and promotion to associate professor may be made under special circumstances if recommended by the president and the chancellor and approved by the Tennessee Board of Regents.

Tenure track appointments are subject to annual renewal by the



university. Tenure-track appointments do not create or convey any right to permanent or continuous employment, nor do they create any manner of legal right, interest, or expectancy of renewal or any other type of appointment. For additional information regarding tenure-track appointments, see the *Handbook* chapter entitled *Tenure and Promotion*.

### **Tenure Appointments**

Tenure appointments are appointments of full time faculty who have been awarded tenure by the Tennessee Board of Regents upon recommendation of the University's president. Tenure appointments include the assurance of continued employment during the academic year, subject to expiration, relinquishment, or termination of tenure for reasons discussed in the section of this *Handbook* entitled *Expiration, Relinquishment, and Termination of Tenure*. Tenure does not guarantee a specified salary, position, or summer session employment. For additional information regarding tenure appointments, see the section of this *Handbook* entitled *Tenure and Promotion*, and the Tennessee Board of Regents policy on *Academic Freedom, Responsibility and Tenure* at *TBR Policy No. 5:02:07:10*.

### **Research Faculty**

Faculty whose primary professional effort is devoted to research projects may be appointed to the rank of research professor, research associate professor, research assistant professor, or research instructor. Appointments for research faculty positions are annual appointments that may be renewed. Renewal of research faculty appointments is based upon availability of funding to support the position. The research faculty member's department or academic unit may expect the research faculty member to participate in securing external funding to support the position.

Research faculty appointments are not tenure-track positions; therefore, research faculty are not eligible for tenure. Otherwise, research faculty appointments maintain essentially the same privileges and responsibilities as tenured and tenure-track faculty members. Research faculty are eligible for promotion under the same rules that apply to promotions for tenured and tenure track faculty, except that advancement within the research ranks is to be based primarily on excellence in research performance. All appointments and promotions to these ranks require the approval of the vice provost for research in addition to

other required approvals.

Research faculty may not vote on matters relating to appointment, retention, tenure, or promotion; however, research faculty may serve as members of appointed faculty committees, subject to the policies and requirements of their individual colleges and departments.

### **Clinical Faculty**

Faculty whose primary professional effort is devoted to clinical applications may be appointed to the rank of clinical professor, clinical associate professor, clinical assistant professor, or clinical instructor ([Policy 5:02:03:00](#)). Appointments for clinical faculty positions are annual appointments that may be renewed. Renewal of clinical faculty appointments is based upon availability of funding to support the positions. The clinical faculty member's department or academic unit may expect the clinical faculty member to participate in securing external funding to support the position.

Clinical faculty appointments are not tenure-track positions; therefore, clinical faculty are not eligible for tenure. However, clinical faculty appointments carry essentially the same privileges and responsibilities as tenured and tenure-track faculty members. Clinical faculty are eligible for promotion under the same rules that apply to promotions for tenured and tenure track faculty, except that advancement within the clinical ranks is to be based primarily on excellence in clinical applications performance.

Clinical faculty may not vote on matters relating to appointment, retention, tenure, or promotion; however, clinical faculty may serve as members of appointed faculty committees, subject to the policies and requirements of their individual colleges and departments.

### **Coordinator Appointments**

Coordinators teach and provide administrative services within the academic departments. Their positions are non-tenurable, renewable appointments for fixed terms. They devote a preponderance of their time to faculty responsibilities including, but not limited to, teaching, advising, and student mentoring. Coordinators may also have responsibility for administering special academic projects, systems support, and

other administrative services.

### **Lecturer/Senior Lecturer Appointments**

Lecturers teach and provide other services within the academic departments. Their positions are non-tenurable, renewable appointments for fixed terms. They devote a preponderance of their time to faculty responsibilities including but not limited to: teaching, advising, student mentoring, and varying degrees of research and scholarship. Lecturers and Senior Lecturers are distinguished by experience and scholarly production.

### **Interdisciplinary Faculty 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 the initiation of any advertisement or a 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).

### **Minimum Requirements for Appointments, Tenure, and Promotion**

The following constitutes minimal requirements for appointment, tenure and promotion at the University of Memphis.

#### **Instructor**

- Potential ability in instruction.
- Master's degree in the instructional discipline or a related area.

- Evidence of good character, mature attitude, and professional integrity

### **Assistant Professor**

- Evidence of potential ability in instruction, public service and research, provided however, that clinical assistant professors should show evidence of ability in instruction and service only; provided further that research assistant professors should show evidence of research and service capabilities only.
- Earned doctorate from an accredited institution in the instructional discipline or related area; or master's degree in the instructional discipline when that master's degree is the recognized terminal degree in that discipline. Exceptions to the minimum rank qualifications at the assistant professor level can be recommended by the president to the Tennessee Board of Regents if the applicant's performance has been exemplary in some way.
- Evidence of good character, mature attitude, and professional integrity.

### **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

### **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 full 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.

Note: Please see section entitled "Terminal Degrees" for additional information concerning this requirement and any exceptions that may be requested.

## **Terminal Degrees**

The Tennessee Board of Regents has responsibility for establishing terminal degree designations for each discipline based upon national standards. The university, however, has the opportunity to request that the Board waive this requirement when it successfully documents that the candidate has exceptional credentials.

The university requires all applicants for tenure-, clinical-, or research-track positions to have terminal degrees in their disciplines and to show proof of such credentials before they are hired. Exceptions may be made to this policy under the following circumstances.

- Candidates may have exceptional credentials that warrant solicitation of a waiver of the terminal degree requirement. Such waivers should be requested in writing by the department chair and should be accompanied with

appropriate documentation. The request should be submitted to the dean, provost and president before being forwarded to the Tennessee Board of Regents for final disposition.

- Candidates may have completed all of the requirements for the terminal degree, with the exception of the dissertation or thesis. With appropriate justification, the candidate may be hired with the understanding that degree completion will take place no more than one year from the date of hire. The candidate will be required to show proof of the degree at that time. Moreover, the initial rate of pay will reflect the candidate's degree status, and will be adjusted accordingly when he/she shows proof of degree receipt. **The tenure clock will not begin until the candidate has earned his/her terminal degree or in accordance with criteria set forth in the official letter of offer and employment contract.**

### **Language Proficiency**

As required by the Tennessee Board of Regents, the university assesses the English proficiency of all candidates for faculty positions (including part time and adjunct faculty and graduate teaching assistants) prior to employment in order to insure adequate proficiency for direct instruction of students. The minimum criteria for evaluation of English proficiency are: (1) an ability to speak and write English clearly, (2) an ability to understand written and spoken English, and (3) an ability to communicate effectively in an academic environment (for example, previous successful employment in an academic institution). The department chair will certify the candidate's English proficiency. The University reserves the right to further assess English language proficiency after a faculty member has been appointed in order to help insure the quality of direct instruction of its students.

### **Personnel Files and Disclosure of Records**

An official university personnel file is maintained in the Department of Human Resources for all employees except undergraduate student employees. The Office of Faculty Administrative Services also maintains a file for all members of the faculty. Faculty personnel files may include the following documents: professional data (transcripts, vitae, etc.), employment agreements, personnel actions (appointment, tenure, promotion, salary), evaluation documents, letters of recommendation and benefits selection forms. Faculty members or their authorized representatives may review their own files

upon request. The University generally limits disclosure of personnel records to those officials in the faculty member's direct line of supervision.

Personnel records and information, with certain exceptions, must be disclosed pursuant to a valid request by a citizen of Tennessee in conformance with the Tennessee Public Records Act, *Tenn. Code Ann.* 10-7- 503, 504. The Act permits the University to withhold only the following information regarding employees and/or members of their family or household: unpublished telephone numbers, bank account information, social security numbers, and drivers license information (unless the employee's position involves operation of a motor vehicle), and certain types of protected information as identified in the Tennessee Public Records Act. The University attempts to notify any affected employee whenever it receives a Public Records Act request for an employee's personnel information, and also provides the name of the party submitting the request. The University's policy and procedure regarding Public Records Act Requests may be accessed at UofM Procedure UM1616, <http://policies.memphis.edu/UM1616.htm>

### **Nepotism**

Tennessee state law prohibits employment of close relatives (i.e., spouses, siblings, children, etc.) within a direct line of supervision. *Tenn. Code Annotated 8-31-100 et seq.* Related individuals may be employed by the University, but a relative may not supervise the activities of another, including a relative with management responsibility over the function in which his or her family member is employed. Further, the University prohibits enrollment of a faculty member's spouse, children, or siblings in a class for which the faculty member is the instructor of record.

### **Conflicts of Interests/Personal Benefits**

The university subscribes to the statement issued jointly by the American Association of University Professors and the American Council on Education entitled *On Preventing Conflicts of Interest in Government Sponsored Research at Universities*. All faculty members who are engaged in research financed wholly or in part by local, state, or federal governments should familiarize

themselves with the principles outlined in this document, copies of which are available in the Office of the Vice Provost for Research.

**No employee of the University of Memphis may use his/her employment or association with the university for personal monetary gain or benefit.** UofM Policy No.UM1692.

Employees must report any activity that constitutes a potential conflict of interest to the senior level administrator over the area in which they work. TBR Policy No.1:02:03:10.

**Sexual, Racial, and Other Harassment**

Sexual and racial harassment, as well as harassment on the basis of religion, disability, or other protected status, is prohibited not only by University policy but also by various acts of Congress, including Title VII of the Civil Rights Act of 1964 as amended and Title IX of the Educational Amendments of 1972. Violation of these acts may subject the University and individuals to disciplinary action and may have legal consequences.

The University encourages prompt reporting of such harassment and its prompt resolution through either informal or formal procedures. See also UofM Policy No. 1391 (<http://policies.memphis.edu/UM1391.htm>) for complaint and investigation procedures. All complaints lodged with the Affirmative Action Office, whether formal or informal, will be investigated by the University. The University also has a policy against discrimination based upon sexual orientation.

**Drug-Free Campus and Alcohol Abuse Prevention**

In accordance with local, state, and federal law, students and employees of the University are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, use, or being under the influence of controlled substances (illicit drugs) and/or alcohol on campus, on property owned or controlled by the University, or as part of any of the University's activities. See also University policy No. 1563 (<http://policies.memphis.edu/UM1563.htm>).



## Chapter 4 - Tenure and Promotion

---

### Contents

---

#### Tenure and Promotion

- **Tenure and Promotion Overview**
- **Definitions of Teaching, Scholarship, and Service**
- **Evaluation of Effective Teaching, Scholarship, and Service**
- **Eligibility for Tenure and Promotion**
- **Review Process for Tenure and Promotion**
- **Preparing for Tenure and Promotion**
- **College/School Guidelines for Tenure and Promotion**
- **Departmental Guidelines for Tenure and Promotion**
- **Fast-Track for Tenure**
- **Probationary Period Prior to Application for Tenure**
- **Credit for Prior Service**
- **Credit for Administrative Position or Transfer**
- **Extension of Probationary Period**
- **Stopping the Clock**
- **Leaves of Absence**
- **Non-Renewal of Appointment Following Unsuccessful Application for Tenure**
- **Non-Renewal of Tenure-Track Contracts**
- **Non-Renewal of Clinical and Research Faculty Appointments**
- **Post-Tenure Evaluation and Faculty Development**
- **Expiration, Relinquishment, and Termination of Tenure**

---

#### Tenure and Promotion

---

#### **Tenure and Promotion Overview**

The quality of the faculty of any university is maintained primarily through the appraisal, by competent faculty and administrative officers, of each candidate for tenure and promotion. Tenure at the University of Memphis provides certain

full-time faculty with the assurance of continued employment during the academic year until retirement, or dismissal for adequate cause, financial exigency, or curricular reasons. Tenure does not confer the right to teach during the summer sessions, nor a guarantee of any specific salary. Tenure and/or promotion to a higher academic rank can be awarded only by the Tennessee Board of Regents upon the recommendation of the president of the university. No other individual or entity may confer tenure or promotion to a higher academic rank at the University.

The tenure and promotion process begins at the department level and requires an understanding of the objectives and aims, not only of the department or appropriate academic unit, but also of the college and university. Criteria to aid in making these appraisals have been formulated by the individual departments and academic units, the individual colleges, the university, and the Tennessee Board of Regents. Departmental and college criteria are consistent with the policies of the University and the Tennessee Board of Regents, but are tailored to the demands of the specific discipline and are designed to allow each department to maintain the degree of specialization in its faculty that the profession requires. Departmental criteria are approved by the dean, provost, and president. College criteria are approved by the provost and president.

Written guidelines should be available on-line and on file in each departmental office and should be distributed to faculty when they join the department, when they come up for pre-tenure review, and when they apply for tenure and promotion. Guidelines should be redistributed to all affected faculty members whenever they are revised or should be available on the Web.

In addition to departmental criteria, administrative criteria such as enrollment patterns and trends, curricular changes, program development, financial consideration and rank distribution, are considered in tenure and promotion decisions. Therefore, a decision to deny tenure or deny promotion does not necessarily mean that a faculty member's work or conduct has been unsatisfactory.

**Definitions of Teaching,**

Each faculty member is expected to demonstrate a commitment

## **Scholarship, and Service**

to and competence in teaching, scholarship, and service activities. In a university community, teaching, scholarship, and service are communal responsibilities. However, variation naturally occurs among departments and among faculty members within departments as to the balance among these activities. It is important to emphasize that teaching, scholarship, and service are interrelated, and that some activities may span more than one area. For example, journal editorship might be considered scholarship, or service, or both; dissertation supervision might be considered teaching, or scholarship, or both. Teaching, scholarship, and service should be evaluated individually and collectively during annual review and at the time of tenure and promotion decisions.

### **Teaching**

Teaching is central to the purposes and objectives of the University of Memphis. It encompasses classroom instruction, course development, mentoring students in academic projects including dissertations, testing, grading, and the professional development of the faculty member as a teacher. Mentoring students at all levels is an important aspect of teaching; creative and effective use of innovative teaching methods and curricular innovations is encouraged.

The evaluation of teaching should be adaptable to differences among disciplines. Since such evaluation is a qualitative process, multiple sources of evidence, including student evaluations for all classes, should be employed. The evaluation should be formative (to improve teaching skills) as well as summative (to judge teaching skills).

### **Scholarship**

Scholarship is a discipline-based, multidisciplinary activity that advances knowledge and learning by producing new ideas and understanding. Scholarly contributions include peer-evaluated, discipline-appropriate works such as books, articles, chapters, films, paintings, performances, and choreographic or theatrical design. Scholarship can be divided into five sub-categories: application, creative activity, inquiry, integration, and the scholarship of teaching. Each department, considering its relevant discipline or disciplines, may emphasize contributions in some subcategories more than others, as described in its mission statement and other relevant departmental documents. Individual faculty are not expected to contribute in all five subcategories of

scholarship. Some overlap in the meaning of the five subcategories is inevitable, and a particular scholarly contribution may fall under more than one subcategory. These subcategories are:

- **Creative activity** should be fully accepted as scholarship in departments where such work is appropriate to both professional specialization and teaching. It includes, but is not limited to, choreography and dance performance; creative writing; direction and design of plays; exhibitions of visual arts such as paintings, sculpture, and photography; direction of film and video; and musical composition and performance.
- **Inquiry** involves rigorous investigation aimed at the discovery of new knowledge within one's own discipline or area of study; it often serves as the basis for other forms of scholarship and may result in scholarly publications, funded research, and presentations at professional meetings.
- **Integration** makes meaningful connections between previously unrelated topics, facts, or observations, such as cross-disciplinary synthesis or an integrative framework within a discipline that results in a publication or presentation in a suitable forum.
- The scholarship of **teaching** focuses on transforming and extending knowledge about pedagogy, including appropriate textbooks or educational articles in one's own discipline. Innovative contributions to teaching, if published or presented in a peer-reviewed forum, also constitute scholarship of teaching. The "*scholarship of teaching*" is **not** equivalent to teaching. Classroom teaching and staying current in one's field are **not** relevant criteria for evaluating faculty on the "*scholarship of teaching*."
- **Engaged scholarship** now subsumes the scholarship of application. It adds to existing knowledge in the process of applying intellectual expertise to collaborative problem-solving with urban, regional, state, national and/or global communities and results in a written work shared with others in the discipline or field of study. Engaged scholarship conceptualizes "community groups" as all those outside of academe and requires shared authority at all stages of the research process from defining the research problem, choosing theoretical and methodological approaches, conducting the research, developing the final product(s), to participating in peer evaluation. Departments should refine the definition as appropriate for their disciplines and incorporate evaluation guidelines in departmental tenure and promotion criteria.

## Service

Service includes service to the university, service to the

profession, and outreach to the community. These functions may overlap in some instances.

All faculty members will perform basic citizenship service within the university. This includes, but is not limited to, serving on departmental committees, advising students, and participating in college and university committees. Academic advising of students is an important aspect of the university citizenship of many faculty and will be taken into account in faculty evaluations.

Some faculty members may accept more extensive citizenship functions, such as 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.

Service to the profession includes association leadership, journal editorships, article and grant proposal review, guest lecturing on other campuses, and other appropriate activities.

Outreach, or service to the community, primarily involves sharing professional expertise with the wider community and should directly support the goals and mission of the university. Under very rare circumstances, outreach may include non-professionally related activities outside the University. Some departments and disciplines, given the nature of their professional work, will be more involved in outreach than will other departments and disciplines. Community outreach is particularly valuable for an urban university such as the University of Memphis.

**Evaluation of Effective Teaching, Scholarship, and Service**

University criteria relate to the institution's three traditional missions: *teaching, scholarship, and service*. These three activities are interrelated and may span more than one mission. Effective teaching is an essential qualification for tenure and promotion, neither of which will be granted in the absence of clear evidence of a candidate's teaching ability and potential for continued development. Excellence in teaching is a strong recommendation for both tenure and promotion, though it cannot be considered in isolation from scholarship and service.

Although it is difficult to establish evidence of *teaching* excellence, each department must develop a procedure to ensure

that all factual information relative to the candidate's teaching is available at the time they are considered for tenure and promotion. Evidence of teaching excellence should include, but is not limited to, the following: command of subject matter, ability to organize and present subject matter in a logical and meaningful way, ability to motivate and stimulate creativity in the student population.

Documentation of *teaching* should routinely include: statement of teaching philosophy; course materials; systematic student evaluations for each course each semester, including the summer and the previous spring semester; grade distributions, plus any comments the faculty member chooses to make about the relation between the grade distribution and the nature of the course; and evidence of supervision of student projects and other forms of student mentorships. Departments should choose additional types of documentation such as: open-ended or other student input; student products; teaching recognition; teaching scholarship; peer input; evidence of professional development in teaching; evidence of disciplinary or interdisciplinary program or curricular development; alumni surveys and student exit interviews; and other evidence of excellence in teaching or mentoring, or both.

Candidates for tenure and promotion must present evidence of their research and scholarly activities. Such evidence should cite books, journal articles, monographs, creative activity, performances, or exhibitions and must accompany the application for promotion and tenure. The scholarship of teaching goes beyond doing a good job in the classroom; creative teachers should organize, record, and document their efforts in such a way that their colleagues may share their contributions to the art of teaching. Appropriate textbooks or educational articles in one's own discipline and innovative contributions to teaching, if published or presented in a peer reviewed forum, constitute scholarship of teaching. Likewise, the Scholarship of Engagement should cite peer-reviewed publications, collaborative reports, documentation of impact, and continuing external funding as evidence of research activity. Please see the sections entitled "Definition of Teaching, Research, and Service" and "Documenting for Tenure and Promotion" for further details.

The publication of *research* in refereed journals or media of similar quality is considered a reliable indication of scholarly ability. In most disciplines, evidence of national recognition is considered the most important criterion in evaluating scholarship for promotion to professor. Evidence of potential for national

recognition is considered the most important criterion in evaluating scholarship for promotion to associate professor. Professional scholarly papers presented at international, national, or regional meetings may be appropriate. Written reviews and evaluations by qualified peers, either in person or aided by other forms of reports, or both, are appropriate for performances, compositions, and other artistic creations. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are more significant than those that are not subjected to such rigorous examination. It should be emphasized that quality is more important than quantity.

*Service* is a term encompassing a faculty member's activities in one of three areas: outreach or public service, institutional service, and professional service. The *outreach or public service* function of The University of Memphis is the University's outreach to the community and society at large, with major emphasis on the application of knowledge for the solution of problems with which society is confronted. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the University. A vital component of the University's mission, public service must be performed at the same high levels of quality that characterize teaching and research.

*Institutional service* refers to work other than teaching and scholarship done at the department, college, or university level. A certain amount of such service is expected of every faculty member; indeed, the University could hardly function without conscientious faculty who perform committee work and other administrative responsibilities. Institutional service includes, but is not limited to, serving on departmental committees, advising students, and participating in college and university committees. Academic advising of students is an important aspect of the University citizenship and will be taken into account in faculty evaluations. Some faculty members may accept more extensive citizenship functions, such as 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.

*Professional service* refers to the work done for organizations related to one's discipline or to the teaching 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.

The collegiality of the faculty member should be considered in all tenure and promotion decisions. It, however, should be not be considered as a separate evaluative criterion; rather, it should be considered in the context of the candidate's teaching, scholarship/research, and service/outreach.

### **External Peer Review**

Both tenure and promotion to associate professor or professor require external peer review of a candidate's record of scholarly activity by qualified peers who are not affiliated with the University of Memphis. The purpose of external peer reviews is solely to provide an informed, objective evaluation of the quality of the scholarship, research or creative activity of the candidate. It is expected that the external reviewers will be selected from peer or comparable institutions with national reputations in the faculty member's discipline. Though not an absolute requirement, it is also expected that faculty of superior rank will review faculty of lower rank. For example, full professors should review applicants for promotion to professor.

Such reviews place a burden on the usually busy schedules of the evaluators. In order to obtain external reviews in a timely manner, the process of developing the lists of external reviewers, as described below, should be initiated during the spring semester preceding the fall tenure and promotion process.

The candidate shall develop a list, normally four to eight names, of recommended peer reviewers from outside the University. The candidate may also submit a list (with justifications) of persons who may pose a conflict for consideration by the chairs of the department and the department tenure and promotion committee. In addition, the chairs of the department and the department tenure and promotion committee will develop a list of outside peer reviewers. The chairs must select at least one of the names suggested by the candidate. The department is solely responsible for supplementing the candidate's list with additional reviewers. The dossier should contain at least four external reviews. If it is not possible to obtain four reviews, the reasons must be documented at the departmental level. For each reviewer, there



should be an accompanying brief paragraph identifying her/his credentials and a statement regarding the nature of the relationship to the candidate (if any). The external reviewers are expected to provide informed, objective evaluations rather than testimonials. Therefore, no more than one external reviewer can be a past mentor or collaborator of the candidate. To the extent possible, the external reviewers for candidates seeking the rank of professor should be professors themselves.

All reviewers should receive the same materials for evaluation; if not, an explanation should be included. Peer reviewers who have agreed to write letters of evaluation should be sent the following: the candidate's curriculum vitae and a letter from the Department Chair to the reviewer, including a request for a written response to the question: "How do you assess the quality of the scholarly and/or creative activity of the candidate;" a deadline for the written response; and a statement that the State of Tennessee has an Open Records Law and that the candidate has access to the outside peer evaluation document.

*Note: These are minimal requirements and should be interpreted to mean that additional materials related to scholarly activity may be necessary in some departments, colleges or schools. The materials sent to a reviewer should enable her/him to fully assess the scholarship of the candidate in an objective fashion.*

### **Evaluation by Chairs**

The Tennessee Board of Regents requires that department chairs evaluate the faculty in their departments annually and that the results of these evaluations be used as a basis for decisions relating to tenure, promotion, recommendations for salary increases and other personnel actions, including decisions regarding renewal of tenure-track appointments. Each department develops, and revises when appropriate, criteria to be considered in the evaluation of its faculty members' activities and responsibilities. The departmental criteria and any departmental procedures for evaluation are approved by the dean of the college and the provost. This information is distributed to all new faculty and to all current faculty whenever a revision is approved. The University's standard faculty evaluation instrument and planning document are available in the Office of the Provost or may be accessed on-line at <http://www.memphis.edu/facres/faceval.php> The annual review process is conducted in the spring semester and consists of two parts: (1) a review of the faculty member's accomplishments during the prior calendar year, using the

previously agreed upon plan of activities for that year as the basis of the review, and (2) establishing a plan of activities for the next year, or for a longer period when appropriate. The review will consider the faculty member's performance in all areas that further the mission of the university, including teaching and advising, research and other scholarly or creative activity, public and university service.

Any review of a faculty member's professional performance should be conducted with the full knowledge of the faculty member, should allow the faculty member to be informed of the findings prior to the transmittal of the conclusions of the review, and should allow the faculty member to verify that the review has been based on full and complete information.

### **Faculty Planning**

During the spring semester, all faculty members submit a current curriculum vitae (<http://www.memphis.edu/facres/cv.php>) a narrative of their accomplishments during the past year (i.e., faculty activity report), and their plans for the upcoming year to their department chair (or other appropriate head of their academic unit if there is no department chair). The chair receives copies of student evaluations for each course that the faculty member has taught during the evaluation period and may also obtain peer input as discussed herein. Both the faculty member and the chair should obtain and include appropriate, similar information from any other relevant department(s) whenever the faculty member is involved in interdisciplinary activities. Generally, the faculty member's accomplishments over only the prior calendar year are considered in the annual review, although a two or three year period of activities may be considered when appropriate.

The department chair reviews the material and then prepares a narrative and an evaluation in a Faculty Evaluation and Planning Report. The chair provides an overall evaluation of the faculty member's performance by assigning one of the following five performance categories: (a) exceptional performance, (b) very good performance, (c) good performance, (d) improvement needed, and (e) failure to meet responsibilities. The chair must provide written specifics for ratings of "improvement needed" and "failure to meet responsibilities." The chair's overall rating should take into account a balance of all the faculty member's activities.

The department chair uses the annual review process as the primary mechanism for evaluating faculty, for giving specific feedback to faculty on their performance, and for making recommendations on how to improve performance consistent with the department's and/or academic unit's goals in areas of teaching, scholarship, outreach, and service. It is recommended that each department and school refer to the tenure and promotion guidelines as a guide to expectations for continued faculty performance. Faculty planning, both short and long term, begins in the spring during the annual review process. This is a joint endeavor carried out by the faculty member and chair, with results acceptable to both; the plan will take into account academic freedom and the departmental or academic unit's mission. Faculty planning, begun during the annual review process in the spring, is finalized in a formal planning report and submitted at the end of the spring semester. Faculty have the option of revising their plan throughout the year as the balance of their responsibilities dictate. Informal meetings between the chair and each faculty member may be necessary to finalize the planning report. The chair's signature on the planning report indicates the appropriateness of the faculty member's plan.

### **Curriculum Vitae**

The University of Memphis uses an on-line data form for development of faculty curricula vitae [<https://itweb2.memphis.edu/fcv/login.php>]. Faculty members must submit updated vitae information each spring as part of their annual evaluation, and are encouraged to update these vitae throughout the year. Faculty and administrative staff may access CVs in "view only" mode.

### **Student Evaluations**

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 [<http://memphis.edu/sete/index.php>] and on each faculty member's portal - SETE channel.

## **Peer Input**

Department chairs are encouraged to seek peer input regarding faculty members as a part of the evaluation process. The form of such input may vary from discussions between the chair and the faculty to formal committees. Examples of successful peer input in various departments include: formal input from a representative group of faculty either appointed by the chair or selected by the faculty; formal input from a rotating group of tenured faculty; formal input from the departmental tenure and promotion committee; and discussions between the chair and each faculty member in the department. In all of these models, documentation should be reviewed by peers. When a formal committee is used, its makeup should reflect the department's diversity and be as widely inclusive as possible; its membership should rotate among faculty members through the use of staggered terms. Although the majority of the committee members should be tenured, untenured faculty may also serve as members. When part of the annual review process, internal peer review committees within departments may also participate in planning with individual faculty members, evaluate faculty's annual performance, and provide evaluations to department chairs.

## **Faculty Evaluation and Planning Report**

Subject to the approval of the dean and the provost, each department may develop a set of procedures to be followed and criteria to be considered in the evaluation of a faculty member's activities and responsibilities. A sample instrument, which may be used or modified, is available in the Office of the Provost.

Department chairs and others with evaluative and developmental responsibilities will be provided institutional support upon request (through the Office of the Provost) in devising strategies for evaluating, collecting and interpreting data, and acquiring reference materials.

After the chair has completed and signed the annual Faculty Evaluation and Planning Report, he or she will transmit the form to the faculty member. The faculty member is given an opportunity to read, sign, and/or offer a written response to the document. The chair also may respond in writing to the written comments of the faculty member, and a copy of all such attachments will be included with the evaluation documents when forwarded to the dean of the college for review and when

placed in the faculty members' personnel file maintained by the Office of Academic Personnel Services. A faculty member's signature or electronic acknowledgement of the annual Faculty Evaluation and Planning Report does not represent agreement with the evaluation but only that the evaluation was reviewed by the faculty member. Although faculty members may submit comments and/or responses to the evaluation, failure to do so should not be construed as agreement with the results of the evaluation.

*Each institution's evaluation system must be designed to ensure that both formative and summative information is provided to determine which individuals should participate in appropriate faculty development program(s). If it is determined that faculty development is needed, opportunities to address the need for improvement will be provided. Failure either to participate in a recommended program or to otherwise attain a required level of performance or credential may justify appropriate administrative action (Tennessee Board of Regents memorandum dated January 8, 1992).*

### **Role of Evaluation in Renewal of Tenure-Track Appointments and Tenure and Promotion Decisions**

Evaluations may be considered in determining whether to renew a faculty member's tenure track appointment. The department chair may use the annual evaluation and review process as an opportunity to counsel tenure-track faculty during their probationary period. The mid-tenure review, discussed below, provides an additional opportunity for counseling tenure-track faculty regarding any areas of concern and becomes a part of the faculty member's application for tenure.

Because a faculty member's annual evaluations and mid-tenure review are a core part of the materials considered for the faculty member's tenure and promotion review, copies of these evaluations and review should be included in the tenure and promotion file of all tenure-track faculty.

Evaluation of a faculty member's performance constitutes only one aspect of the final recommendation on tenure or promotion. In addition to evaluation, the administrative assessment of need, enrollment trends, financial resources, rank distribution, and other such matters will also be considered in the recommendation to promote or tenure.

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

Individual departments and academic units, with the involvement of their dean, will conduct a major evaluation of untenured faculty in tenure-track positions prior to their eligibility to apply for tenure. The purpose of the review is to provide the department tenure and promotion committee, the chair, the college tenure and promotion committee (if utilized), the dean and the faculty member with information about her/his progress toward promotion and tenure. This evaluation is typically near the end of the faculty member's third year and is conducted by the tenure and promotion committee and the chair. Each faculty member is responsible for presenting documentation (dossier) of contributions and accomplishments according to departmental or academic unit, college, and university guidelines. These materials are reviewed by the tenure committee of the department, by the chair and by the dean and are subsequently forwarded to the Office for Faculty Administrative Services for inclusion in the faculty member's permanent file. During this process, the chair and the dean should provide the candidate with information about his or her progress toward application for tenure.

### **Procedures**

The procedure for the mid-tenure review should be the same as that used by the Department for tenure and promotion review. Deliberations and discussions of dossiers will take place in committee meetings. Each candidate's accomplishments should be evaluated with respect to quality as well as quantity within the context of the candidate's roles and responsibilities. The dossier for the mid-tenure review should be the same as the one for tenure and promotion, with the exception of letters from external peer reviewers. The format of the University of Memphis Tenure and Promotion dossier example should be used and contain information documenting evidence of quality in instruction, scholarship, and outreach/service. (The term scholarship will be used to encompass research and creative activity.) The inclusion of non-essential documents is discouraged.

### **Evaluation Criteria**

The evaluation criteria for the quality of a faculty member's mid-tenure accomplishments should be the same as those used for promotion to associate professor with tenure. The University criteria relate to the institution's traditional missions: instruction, scholarship, and outreach/service. The candidate should have also

demonstrated a willingness to work with colleagues in supporting the goals and missions of the department, college, and university. Each department should determine the level of instructional effectiveness, scholarship and outreach/service activities that are appropriate to support its particular goals and missions, consistent with College and University criteria.

### **Feedback**

The committee chair will prepare a written report based on the recommendation of the tenure and promotion committee members that is submitted to the department chair or equivalent. The report should specify the department's criteria and, in particular, discuss both the strengths and weaknesses of the faculty member's accomplishments in instruction, scholarship, and outreach/service. The report should provide meaningful feedback and direction to the faculty member to assist in planning and organizing subsequent work activities.

The department chair will prepare a written report that addresses the strengths and weaknesses of the faculty member's accomplishments in instruction, scholarship, and outreach/service.

A copy of the two reports will be presented to the faculty member. The tenure and promotion committee chair, the department chair or equivalent, will meet with the candidate to discuss the reports. The faculty member may write a brief statement in response to the discussions and reports obtained from the department tenure and promotion committee and the department chair. The purpose of this response is to allow the faculty member the opportunity to address any concerns or inaccuracies in the reports. The faculty member may also describe plans for addressing concerns raised during the mid-tenure review. In addition, the response ensures that all participants in the process understand the nature and context of the feedback, thereby minimizing miscommunication. The candidate's dossier, the recommendations made by the department tenure and promotion committee and the department chair, and the candidate's response (if any) constitute the candidate's file. The chair is responsible for forwarding the candidate's file to the dean.

Colleges may elect to include the college tenure and promotion committee in the third-year/mid-tenure review process.

The dean shall then prepare a written report and, as necessary, may meet with the candidate to discuss the results of the third-year/mid-tenure review.

## **Eligibility for Tenure and Promotion**

### **Tenure**

Before beginning the sixth (or final) probationary year, a faculty member with the rank of assistant professor or higher must make application for tenure. Application and all supporting documentation for tenure should be submitted at the beginning of the fall semester of the sixth or final probationary year.

Candidates for tenure must meet eligibility requirements for promotion to associate professor or have already attained that rank. Stated another way, anyone recommended for tenure must also be recommended for promotion.

Tenure applications receive one of two responses: tenure may be granted; or tenure may be 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.

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.

### **Promotion**

Faculty members may apply for promotion whenever they believe they meet the established criteria. The minimum criteria for promotion are stated herein; however, faculty members applying for promotion must also satisfy any applicable criteria for promotion required by their individual department, academic unit, and/or college. Faculty members are advised, but not required, to confer with their department chair before submitting applications for promotion.

**Review Process for Tenure and Promotion** The tenure and promotion process begins at the departmental or other academic unit level with review of the candidate's



## **Promotion**

application by the department's tenure and promotion committee. This committee forwards its recommendations to the department chair or other appropriate head of an academic unit, who then reviews the application and forwards both the committee's and his/her recommendation to the College. The application is then reviewed at the college level by the college tenure and promotion committee which makes a recommendation; the dean makes his/her recommendation subsequent to action by the college committee. All four recommendations are subsequently forwarded to the Provost. In the event that a chair/head of an academic unit or a dean is not available to make a recommendation on a tenure or promotion application, the Provost may appoint a substitute from within the appropriate college or accept the application for consideration without such recommendation.

**Note:** Throughout this section, the terms "academic unit" and "head of academic unit" should be substituted for "department" or "department chair," respectively, whenever applicable.

### **Department Committee**

Candidates for tenure and/or promotion should submit their applications and supporting papers to their department chair, who will transmit the documents directly to the department's tenure and promotion committee. This committee will evaluate the candidate's accomplishments, applying to them all relevant criteria (Tennessee Board of Regents, university, college and department). The judgment and assessment of the candidate's application for tenure by the faculty at the department level is critical because of their familiarity with the candidates and their knowledge of the qualifications necessary for their particular discipline. Therefore, reviewers at every level will utilize dossier materials and professional observations in making their recommendations. Professional observations may be included in the documentation that is prepared at each level of review.

The departmental committee will return the applications and supporting papers to the department chair/head of academic unit along with its recommendations and reasons for those recommendations. These recommendations should reflect the full scope of discussions that took place in the committee meetings, and should also contain the rationale for the recommendation that is consistent with the vote of the committee. If the decision of the Department Committee is not unanimous, the committee may also submit to the department

chair a minority report with the rationale for dissenting opinions.

*Department Committee Composition:* The tenure and promotion committee of the department consists of all tenured associate professors and professors. For promotion to professor, the subcommittee of tenured professors will make the recommendations. Note: For small departments, some alternate process may be needed.

### **Department Chair**

The department chair will evaluate the candidate's file, make further recommendations, and then, in cases involving promotion only, meet with the candidate to transmit the recommendations which the committee and the chair have made and reasons for those recommendations. When the chair meets with the candidate being considered for tenure or tenure and promotion, he/she should restrict his/her conversation to the recommendations that have been made, but should not, at this time, address the reasons for the recommendations. In promotional situations, the chair is free to discuss his/her recommendations. Application for promotion may be withdrawn at this point.

The major share of the responsibility for appraising a candidate is the responsibility of the department chair and the department committee, who must determine not only present qualifications for tenure and promotion, but also determine the potential for development, an important consideration if the vitality of the University is to be maintained. The appraisal must be more than a mere review of the candidate's activities in teaching, research, and service; it must be a thorough evaluation of these activities and other relevant criteria, supported by substantial evidence.

If a department chair is being considered for promotion or tenure, the recommendation of the department committee will be transmitted directly to the college dean.

### **College Committee**

The dean will send the applications and the departmental and chair recommendations directly to the college's tenure and promotion committee. The college committee has responsibility for insuring that the dossiers are consistent with department, college, and university policies as well as for making recommendations concerning the applicant's qualifications for tenure and/or promotion. Its perspective will of necessity be

broader than that of the department committee: it will consider such things as the college wide staffing plans, the department's enrollment trends, and the philosophy of the college. Its purpose is to ensure adherence to institutional procedures and criteria, to prevent departmental inbreeding and doctrinal conformity, to review the completeness of the information presented, and to question any omissions in criteria or variations in procedure. The college committee should consider the substance of a faculty member's qualifications to the extent necessary for the performance of its function. The college committee should evaluate the performance of a candidate for tenure and promotion in light of specific written standards from the candidate's department. After completing its evaluation the committee will return the application and supporting papers to the dean with its recommendations and reasons for those recommendations. These recommendations should reflect the full scope of discussions that took place, and should contain the rationale that is consistent with the vote of the committee. If the decision of the College Committee is not unanimous, the committee may also submit to the Dean a minority report with the rationale for dissenting opinions.

### **College Committee Composition**

The membership requirements and selection procedures are to be determined by each college; however, only tenured associate professors and professors may serve on tenure and promotion committees. At least two thirds of the members of the college tenure and promotion committee should be elected by department faculties, with the remaining third appointed by the dean. Such a combination will ensure the full representation of faculty competence in teaching, scholarship, and service.

**Single Participation:** A member of the College Tenure and Promotion Committee may vote at the departmental level, but cannot vote at the College level on candidates from their department.

**Participation of Spouses:** Spouses may not participate in committee deliberations at any level.

### **Dean**

The dean will evaluate the candidate's file, make further recommendations and, in cases involving promotion only, meet with the candidate to transmit recommendations which the

college committee and the dean have made, along with reasons for those recommendations. At this point the candidate has one last opportunity to withdraw the application for promotion.

If a dean is being considered for promotion or tenure, the recommendation of the college committee will go directly to the provost.

### **Provost**

The provost will review the file from an even broader perspective than that used in the college. In addition to and exclusive of individual qualifications and performance, consideration must be given to such matters as department imbalance in rank distribution, potential for continued staff additions, prospective retirements and resignations, enrollment patterns, program changes, and other significant institutional considerations. The provost will notify the candidate of the recommendation that he or she will make to the president regarding the candidate's application no later than seven (7) days after the beginning of the spring academic term.

If a candidate decides to appeal a negative decision for tenure and promotion, he/she must make application to the university tenure and promotion appeals committee within thirty (30) days of the beginning of the spring academic term. In the case of a negative recommendation, the provost will give written reason(s) for the decision.

### **Appeals of Negative Tenure or Promotion Decision**

The responsibility of the appeals committee is to entertain appeals of negative recommendations concerning tenure and promotion by the provost and to be advisory to the president in such matters. If, after the provost's tenure and promotion recommendations are announced, a faculty member wishes to appeal a negative recommendation, the request must be submitted to the chair of the university committee within thirty (30) days of the beginning of the spring academic term. The committee may review information related to the appeal to whatever extent it wishes and then make its recommendations to the president.

### **University Tenure and Promotion Appeals Committee Composition**

Each year, a pool of eighteen faculty members is formed to hear

tenure and promotion appeals. Ten of the members will be appointed by the Faculty Senate and eight will be appointed by the president. The pool should reflect diversity in terms of race, gender, and college/school. Membership is for three years with staggered terms to ensure conformity and continuity in the committee function.

Nine members of the pool will be assigned to hear each case, with the work being divided as evenly as possible. To the extent practicable, the committees should maintain diversity in actual participation, especially if issues of diversity play a role in a particular case.

### **Role of Committee in Advising Candidates of Process**

At any stage of the appeals process, an appellant has the opportunity to enlist the aid and advice of a Faculty Appeals Advocate. There are three such Appeals Advocates who are appointed by the Faculty Senate for three-year terms. The Appeals Advocates are tenured faculty at the Professor rank who are well versed in the appeals process, not currently serving on either of the Appeals Committees, and able to serve as conflict-free advisors to an appellant during the appeals process. An Appeals Advocate can provide information about appeals procedures and the grounds for appeals, assist appellants in developing their appeals, and advise appellants during an appeals hearing.

### **Grounds for Appeal**

If there is an appeal of the recommendation for tenure or promotion, additions relevant to the appeal may be made to the appellant's file. The Appeals Committee will consider only the issues relating to the following grounds for appeal:

1. Unlawful discrimination on the basis of sex, age, race, religion, national origin, veteran's status, disability, or other grounds protected by state or federal law;
2. Violations of principles on academic freedom as outlined in the Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors.
3. Substantive procedural errors (based upon the procedures outlined in the *Faculty Handbook*, college tenure and promotion guidelines, or departmental guidelines) in the manner in which

the application was reviewed; or

4. Mistake in the review of a dossier such that a reviewing body is unaware of a credential that satisfies a requirement for tenure or promotion.
5. An arbitrary, capricious, or unsubstantiated recommendation.

If any of these grounds is found to have existed, the Appeals Committee will then consider whether the ground adversely affected the ultimate recommendation. In addition, the Appeals Committee may hear an appeal in any instance where there is a negative decision by the provost despite positive recommendations at all four levels of review (department committee, department chair, college committee, college dean). The Appeals Committees will not substitute their judgment for that exercised at the levels of review and will restrict their assessment to the areas stipulated in the section entitled "Grounds for Appeal."

### **Appeals Committee Procedures**

In the notice of appeal to the committee chair, the person seeking the appeal (complainant) must identify the grounds for the appeal sought. The complainant should pursue only those grounds for which there is credible evidence supporting the appeal. It is the complainant's responsibility to present the evidence to support each ground that serves as the basis for the appeal. Such evidence could be documentary or could include testimony, but there must be proof, rather than just accusations, that the ground is satisfied.

If the Appeals Committee determines that a hearing on the appeal should be conducted, the following procedures shall apply:

The complainant (accompanied by an Appeals Advocate and/or other counsel if desired) and participants may be present throughout the duration of the hearing. Witnesses must wait outside the hearing room until called and must leave upon completion of their testimony. Although the hearings are informal, it has been found necessary to adopt a quasi-legal process to ensure that all participants have an opportunity to be heard.

Hearing Process:

1. The provost will first address the committee to explain the process for reaching his decision and to present whatever documentation is deemed appropriate. It is recommended that the provost limit her/his remarks to ten minutes; however, the time limit will not be absolute since he/she does not participate in all of the proceedings of the hearing.
2. The complainant will make her/his opening statement, usually a declaration of how he/she feels he/she was wronged, citing the particular ground(s) upon which the appeal is based and how he/she intends to prove the case. The opening statement should only be an overview of the appeal and shall be limited to ten (10) minutes.
3. Each participant who desires to do so can make an opening statement, which again shall be only an overview of the participant's position. These opening statements shall also be limited to ten (10) minutes per participant.
4. The complainant calls her-/himself as a witness and states details of her/his case, specifying each ground upon which he/she has a complaint and substantiating each one in turn with proof. If improper procedure related to the department criteria is to be used as a basis for appeal, the appellant is requested to provide a copy of her/his department's criteria to the committee. Note: The committee often finds it difficult to properly assess the quality of research work of the complainant. Therefore, if the complainant intends to use the improper evaluation of her/his research efforts as a basis for appeal, the committee requests that he/she bring members of her/his field of expertise as witnesses to vouch for the quality of the complainant's research efforts.
5. Participants may question the complainant; then committee members may question the complainant.
6. The complainant calls her/his witnesses in the order he/she deems best. The witnesses will be informed that the procedures are informal and that the witnesses may respond to questions as they see fit; e.g., they may refuse to answer, ask for clarification, answer portions of compound questions and omit portions, etc. Witness testimony should not be repetitive and should focus on providing information regarding the particular ground for appeal sought by the complainant.
7. Complainant may question each witness, then participants may question each witness, then committee members may question each witness.
8. Participants may call themselves as witnesses and present such data and opinion as they see fit.
9. Complainant may question the participants, then committee members may question the participant.
10. Participants may call and question such witnesses as they deem necessary in the order they wish.
11. The complainant may question each witness after the participant is completed, then the committee members may

- question the witness.
12. The Provost will return to answer any questions that the complainant, the participants, or the committee members may have.
  13. Summary statement by the complainant shall be limited to a summary of the proof presented, or highlighting of the specific support for each ground upon which a hearing was granted. Summary statements shall last no longer than ten (10) minutes.
  14. Summary statements by the participants shall last no longer than ten (10) minutes.
  15. Participants and complainant are dismissed. If the case is completed, the committee may move to immediate discussion or postpone discussion to another time.
  16. The committee will discuss and vote on the ground(s) for appeal that is presented by the complainant. If, and only if, there is a positive vote on that identified ground, the committee will discuss and vote on whether the identified ground may have interfered with an appropriate vote on the candidate's record.
  17. After discussion and a vote, the committee chairperson will phone the complainant as soon as practical and inform her/him of the decision. A memorandum will be sent to the president, provost, complainant, and participants informing them of the decision and findings of the committee.

### **Appeals Committee Recommendations**

By simple majority vote, the Appeals Committee will advise (with supporting rationale) the President in one of three ways: (1) that one or more of the grounds were found to be valid by the weight of the evidence, and the committee believes that this adversely affected the ultimate recommendation; 2) that one or more of the grounds were found to have occurred by the weight of the evidence, but the committee believes that this did not adversely affect the ultimate recommendation; or 3) that no grounds were found to exist. If the decision of the Appeals Committee is not unanimous, the committee may also submit to the president a minority report with the rationale for dissenting opinions.

Peer committees have qualified privilege of academic confidentiality against disclosure of individual tenure votes unless there is evidence that casts doubt upon the integrity of the committees.

**Note:** Tennessee Board of Regents Policy on Appeals (TBR Policy No.1:02:11:00) provides that absent an alleged violation



of state or federal law or inconsistent application of University policy, decisions that are not appealable to the chancellor include (a) non-renewal of a tenure track faculty appointment during the first four years of the probationary period, and (b) denial of tenure unaccompanied by notice of termination in the sixth year of the probationary period.

### **President**

After receiving recommendations from the provost and the university appeals committee, the president makes final recommendations to the Tennessee Board of Regents and notifies the candidate of this recommendation. In the case of a negative recommendation, the president will give the candidate written reason(s) for the decision..

### **Tennessee Board of Regents**

After considering the president's recommendations, the Tennessee Board of Regents will take final action on the applications and report their decision to the president, who will transmit official notification of the tenure decision to each candidate.

## **Preparing for Tenure and Promotion Documenting Performance: Teaching, Scholarship/Research, Service/Outreach**

Applications for tenure and promotion are requested via a letter to the department chair. No form is specified for this letter, yet it should be as concise and complete as possible. The letter should be accompanied by one copy of each document described in the section below entitled "Dossier." Great care should be taken in the preparation of the dossier. Nothing may be added to or removed from a candidate's dossier after it has been evaluated by the department's tenure and promotion committee. This requirement insures that each reviewing authority will examine exactly the same evidence in making decisions on tenure and/ or promotion application. This rule notwithstanding, The Appeals Committee may request such information that it deems necessary to form its recommendations to the president.

Candidates for tenure and/or promotion should work closely with their department chairs to define goals and to establish documented evidence of

effectiveness to be sure that they are meeting the obligations and performing at the level of expectation of the department, college, and university. Physical evidence of effective performance should include items such as syllabi, student evaluations, and selected course materials to support teaching; copies of published articles or books, or written reviews and evaluations by qualified peers of the candidate's performances, compositions, and artistic creations to document scholarship; and documentation of service and outreach activities. All such evidence becomes part of the faculty member's ongoing and continuously updated file (dossier), the specific content of which will vary according to discipline.

Types of evidence for effectiveness in teaching and mentoring include the following.

- Command of the subject
- Ability to organize and present subject matter in a logical and meaningful way
- Ability to motivate undergraduates
- Ability to stimulate creativity in graduate students
- Creative and effective use of innovative teaching methods and curricular innovations.

Examples of documentation for teaching and mentoring include the following:

- Statement of teaching philosophy
- Course materials
- Systematic student evaluations for each course each semester (including summer and previous spring)
- Grade distribution (and comments, if desired, about relationship of grades and nature of course)
- Evidence of supervision of student projects and other forms of mentorships
- Evaluation by department chairs
- Comments of peers
- Teaching awards

Types of evidence and documentation for effectiveness in research and scholarly/creative activities include the following:

- Publications, e.g., appropriate textbooks, books or chapters in books, articles in refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews and other related items, written reviews and evaluations by qualified peers.
- Papers presented, e.g., papers presented at local, state, regional, national and international professional meetings (significance of the content and selection process should be considered in the process of reviewing such

- presentations).
- Performances or exhibitions, e.g., performances or exhibitions that are invited or juried by nationally or regionally recognized members or groups within the discipline. Research in progress, e.g., verification of stages or development for research in progress is mandatory.
  - Contributions to the art of teaching, e.g., appropriate textbooks or education articles in peer review forum, development of computer software or audiovisual media, and so forth.
  - Contributions to engaged scholarship including collaborative reports, documentation of impact, external funding, and peer-reviewed journals.

Types of evidence and documentation for professionally related services include the following:

- Service to the University, e.g., participation and leadership roles in departmental, college or school and university committees; participation in university governance; administrative service; advising students; recruitment activities; service to student organizations; other related activities
- Service to one's discipline, e.g., memberships and leadership roles in professional organizations at state, regional, or national levels.
- Service to the larger society, e.g., presentations related to the discipline; professional advice and counsel to groups or individuals; other types of service, particularly in the university's service area.

Other factors to be considered include:

- Evidence of Collegiality. Collegiality is an intrinsic part of the review of any candidate. It should not, however, be considered apart from teaching, scholarship/research and service. Rather, it should be considered to be essential to the role that the faculty member plays in each of these areas.
- Professional growth, e.g., courses taken for credit, courses audited, seminars attended and independent study activities (much of this evidence will be submitted on the section on teaching, service, research, and scholarly/creative activity).

### **The Dossier**

Candidates who are not sure what to include in their dossiers or how to organize the material should seek help from their chairs and colleagues, particularly those who have served on tenure and promotion committees. However, the following recommendations represent a general set of procedures designed to establish a minimal degree of uniformity across colleges and schools. Variability may occur among colleges in the implementation of these recommendations due to differences in the structure and/or size of colleges and schools. Candidates prepare dossiers for review in consultation with the Department Chair. The materials

specified in the University of Memphis dossier must be included.

Candidate dossiers are submitted electronically:

**(APPLICANT'S FULL NAME)**

**200\_ - 200\_**

Tab I. SUMMARY OF RECOMMENDATIONS

Recommendation Signature Page

Appointment History\*

Tab II. COLLEGE/SCHOOL RECOMMENDATION

Statement from the Dean

Statement from the College/School Committee

Tab III. DEPARTMENT/AREA RECOMMENDATION (if applicable)

Statement from the from Department Chair/Area Head

Statement from the from Department/Area Committee

Tab IV. EXTERNAL EVALUATIONS

Copy of Solicitation Letter to External Evaluators\*

Summary of Credentials of External Evaluators\*

External Peer Evaluations

(See section entitled "Faculty Evaluations," subheading "External Peer Reviews")

Tab V. INTERNAL EVALUATIONS

Initial Appointment Letter

Annual Evaluations

Mid-term Evaluation by Department and any candidate response

Mid-term Evaluation by College (if applicable)

Tab VI. INSTRUCTION

Summary of Teaching Responsibilities/Philosophy (normally two to three pages)

Summary of Student Evaluations\*

Peer Evaluation(s) of Teaching

Honors and Awards

Tab VII. Research/Scholarship/Creative Activity

Brief Summary of Accomplishments and Plans (normally two to three pages)

Internal Grants and Contracts

External Grants and Contracts

Peer Evaluation(s) of Research/Scholarship/Creative Activity

Honors and Awards

Tab VIII.

SERVICE/OUTREACH/ADVISING/MENTORING/ADMINISTRATION

Brief Summary of Responsibilities and Accomplishments

Internal Grants and Contracts

External Grants and Contracts

Peer Evaluation(s) of Service/Advising/Mentoring/Administration

Honors and Awards

Tab IX. UNIVERSITY

Curriculum Vitae

Tab X. OTHER PERTINENT INFORMATION

Sample forms as follows are contained on the Provost's Website <http://www.memphis.edu/provost/index.php>

- tenure and promotion history
- external evaluators letter
- external evaluators' list
- course evaluation summary

Examples of scholarly and/or creative activities are not to be forwarded for review, but should be retained in the department office to allow college and campus level reviews if requested. The materials that are forwarded to the provost do not have to be numbered by page; however, they should be assembled in the order as specified above.

**College/School Guidelines for Tenure and Promotion**

Each college and school within the University should develop written guidelines that articulate its standards for tenure and promotion. These guidelines should reflect the breadth and diversity of its faculty while remaining consistent with the guidelines established in this *Handbook*. While the departmental guidelines should be the candidate's primary source for tenure and/or promotion documentation, the college/school guidelines should establish standards for faculty performance and evaluation. They should also provide information concerning the role of the college/school committee, the manner in which the committee is selected, and the manner in which the dean makes his/her recommendations. It would likewise be desirable to set a minimal standard for mentoring of untenured faculty.

These guidelines should be made available to faculty members at the time they join the faculty, at the time of mid-tenure review, and at the time of application for tenure or promotion.

For more information about the College/School Guidelines, please see *Review Process for Tenure and Promotion*.

**Departmental Guidelines for Tenure and Promotion**

At the heart of the tenure and promotion process is the need for all departments (a) to spell out specific requirements for tenure and promotion, (b) to inform faculty yearly as to their progress,

and (c) to communicate these criteria to the college committee, deans, and the provost. Accountability for implementing this process begins at the departmental level with clearly defined standards for the evaluation of faculty for tenure and promotion. Specific written guidelines are developed at the departmental level and reviewed by a college-level faculty committee advisory to the dean, and are approved by the dean and the provost. These guidelines should be distributed to faculty members at the time they join the faculty, at the time of pre-tenure review, and at the time of application for tenure or promotion. These written guidelines are to be discipline-specific, although in harmony with general University guidelines. They should contain the specific criteria and procedures for faculty evaluations and should be updated as needed. Departmental standards are to be included in the tenure and promotion materials sent forward from the department to the college and University levels on behalf of the candidate. In addition to developing and distributing specific standards, it is of crucial importance to assist new untenured faculty through the use of a mentor system.

Recommendations for or against faculty eligible for tenure originate from the department or division in which the faculty member is assigned and include appropriate participation in the recommendation by the tenured faculty in that department or division.

**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.

**Fast-Track for Tenure**

From time to time, the University will find it necessary to expedite tenure review in order to recruit high-quality faculty. In those cases, the candidate's application file will take the place of the traditional dossier and will be submitted to the departmental committee, the department chair, the college committee, the Dean, the Provost and the President for review before being forwarded to the Tennessee Board of Regents. Because recruitment is often time sensitive, the department and college committees are requested to devise methods for expedited review of the candidate's application regardless of the time of year in which the application is submitted.

Letters of offer to these candidates should include language that suggests expedited tenure review, but should not promise positive outcomes. The letters should, moreover, indicate that the file will be forwarded to the Tennessee Board of Regents for review at its first meeting in the new academic year.

**Probationary Period Prior to Application for Tenure**

A faculty member on a tenure-track appointment must serve in a faculty position at the University during a probationary period prior to eligibility for application for tenure. The standard probationary period is six years, unless otherwise prescribed in writing and approved by the dean, provost and president. Absent an approved exception, application for tenure and all supporting documentation must be submitted at the beginning of the fall semester of the sixth or final probationary year. Exceptions that may affect the length of the probationary period are addressed 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."

From time to time, an untenured faculty member may receive permission to return to school to obtain a terminal degree in his/her discipline. If the faculty member is in a tenure-track position while in school, commencement of the tenure clock will be delayed until he/she completes all degree requirements. The tenure clock will commence at the beginning of the fall semester of the academic year that follows successful completion of the



degree program.

Faculty members on tenure-track appointments will not be subject to substantial revisions in the criteria for tenure if these revisions occur during the faculty member's probationary period. However, all procedural guidelines would be those in place at the time of the application for tenure.

**Credit for Prior Service**

At the discretion of the president, credit toward completion of the probationary period may be permitted for previous full time service at other colleges, universities, or institutes, provided that the prior service is relevant to the needs and criteria of the University of Memphis. Any credit for prior service that is recognized and agreed to must be confirmed in writing at the time of the initial appointment. Also, at the discretion of the president, credit toward completion of the probationary period may be given for a maximum of three years of previous full-time service in a temporary faculty appointment at the University of Memphis or in an earlier tenure track appointment at the University of Memphis which has been followed by a break in service. Any credit for prior service must be included in the appointment letter to the candidate and must be approved by the chair, dean and provost before the offer is made. In these cases, the faculty member is expected to submit a dossier that is consistent with the guidelines outlined in the *Handbook* "Preparing for Tenure and Promotion." His/her application will be considered during the regular fall/spring tenure and promotion cycle.

From time to time, clinical and research faculty may become eligible for tenure-track positions. In these cases, the faculty member may be given credit for time in rank as a clinical or research professor, or may be given credit for previous experience at other institutions.

**Credit for Administrative Position or Transfer**

Time or a prorated portion of the time served in an administrative position may be credited toward the probationary period, provided that the faculty member maintains significant

involvement in academic pursuits (i.e., teaching and scholarship). The faculty member must initiate the tenure action in his or her home department or academic unit, even if the faculty member is currently serving in an administrative position outside of the department or academic unit.

When a faculty member is serving a probationary period in an academic unit (e.g., a department or division) or program and is then transferred to another academic unit or program, they may, with the written approval of the president, elect to begin a new probationary period. Time spent in the first appointment will count toward establishing the probationary period unless a change is approved in writing by the President.

**Extension of Probationary Period**

A faculty member in a tenure-track appointment may request a one-year extension to the probationary period only when such probationary period was originally negotiated for less than six years. Such extensions are allowed when a faculty member requires additional time to develop a dossier that adequately reflects the candidate's potential long-term contributions to the department. Extensions will not be granted if the total probationary period exceeds six years.

A faculty member seeking an extension of the probationary period must submit his/her request, in writing, addressing the considerations described above. The request is to be submitted to the department chair for consideration and recommendation. The chair's recommendation is forwarded to the dean of the faculty member's college for consideration and recommendation; *thence* to the provost for consideration and recommendation; and finally to the president for approval or denial. The president will notify the faculty member, in writing, of the decision to approve or deny the request for extension within one month of submission.

A faculty member may apply for a maximum of two (2) extensions in one-year increments so long as the total probationary period does not exceed six years. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension. Requests for extension will not be granted retroactively.

## **Stopping the Clock**

A faculty member in a tenure-track position may request to "stop the clock" during his/her probationary period when circumstances exist that interrupt his/her normal progress toward building a case for tenure. In such cases, the faculty member may request to stop the clock for one year if he/she demonstrates that circumstances reasonably warrant extension. Reasons for stopping the clock will typically be related to a personal or family situation requiring attention and commitment that consumes the time and energy normally used to address faculty duties and professional development. Examples may include, but are not limited to, childbirth or adoption, care of dependents, medical conditions or obligations, physical disasters or disruptions, or similar circumstances that require a fundamental alteration of one's professional life. The intent of this policy is to serve the best interests of the University while providing neither preference to nor adverse effect on a faculty member's process of developing a case for tenure.

A faculty member seeking to "stop the clock" must submit his/her request, in writing, addressing the considerations described above. The request is to be submitted to the department chair for consideration and recommendation. The chair's recommendation is forwarded to the dean of the faculty member's college for consideration and recommendation; *thence* to the provost for consideration and recommendation; and finally to the president for approval or denial. The president will notify the faculty member, in writing, of the decision to approve or deny the request for extension within one month of submission. Stop the clock requests based upon a faculty member's health or care for an immediate family member should be submitted to the Office of Legal Counsel for review.

A faculty member may apply for a maximum of two (2) "stop the clock" periods. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension. "Stop the clock" requests will not be granted retroactively.

## **Leaves of Absence**

Only full time continuous service at the University is to be included in the probationary period, except for a period covered

by an approved leave of absence. The period for an approved leave of absence will be excluded from the requisite probationary period unless the provost has specified in writing prior to approving the leave that it will be included. No more than one year of an approved leave may be included in the total probationary period. Leaves of absence will not be granted retroactively.

**Non-Renewal of Appointment Following Unsuccessful Application for Tenure**

Faculty members on tenure track appointments who complete their sixth year of the probationary period will either be recommended for tenure and promotion to associate or full professor by the president, or they will be given notice of non-renewal of the appointment. The University's notice of non-renewal should be given no later than May 15 of the sixth academic year or within thirty (30) days of exhaustion of any appeals. Upon receipt of notice of such non-renewal, the faculty member will be eligible for a one-year non-renewable appointment at the University.

**Non-Renewal of Tenure-Track Contracts**

Tenure-track faculty are subject to non-renewal of their appointments during their probationary periods with appropriate notice. The non-renewal or non-reappointment of any faculty member on a tenure track appointment does not necessarily carry an implication of unsatisfactory work or conduct. A faculty member whose tenure track appointment is not renewed will be given an oral statement of the reason(s) and an opportunity for discussion with the president or the president's representative.

Faculty members on tenure track appointments will not be terminated during the term of their appointment except for reasons that would be sufficient for the termination of tenured faculty. The same procedures for the termination of a tenured faculty member are followed to dismiss for cause a non-tenured faculty member prior to the expiration of the one-year term of the appointment.

Tenure track faculty whose annual appointments will not be renewed will be given written notice of non-renewal of their

appointment contracts in conformance with the following schedule:

- Not later than April 1 of the first academic year of service if the appointment expires at the end of that year; or, if the appointment expires during an academic year, at least two months in advance of the expiration date.
- Not later than January 1 of the second academic year of service, if the appointment expires at the end of that year; or, if the appointment expires during the academic year, at least five months in advance of the expiration date.
- Not later than May 15 preceding the third or subsequent year of service, if the appointment expires at the end of that year; or, if the appointment expires during the academic year, at least twelve months in advance of the expiration date.

Notice of non-renewal becomes effective on personal delivery of the written notice to the faculty member, or on the date the notice is mailed to the faculty member's home address of record, whichever first occurs. Dates for notice of non-renewal are not affected by any credit for prior service. Failure to give timely notice of non-renewal of a contract will not result in a tenured appointment, but the faculty member will be eligible for an additional one year, nonrenewable appointment.

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.

**Non-Renewal of Clinical and Research Faculty Appointments**

Clinical and research faculty are subject to non-renewal of their appointments with appropriate notice. The non-renewal or non-reappointment of any faculty member on a clinical or research appointment does not necessarily carry an implication of unsatisfactory work or conduct. A faculty member whose clinical or research appointment is not renewed will be given an oral statement of the reason(s) and an opportunity for discussion with the president or the president's representative.

Clinical or research faculty whose annual appointments will not be renewed will be given written notice of non-renewal of their

appointment contracts in conformance with the following schedule:

- Not later than April 1 of the first academic year of service if the appointment expires at the end of that year; or, if the appointment expires during an academic year, at least two months in advance of the expiration date.
- Not later than January 1 of the second academic year of service, if the appointment expires at the end of that year; or, if the appointment expires during the academic year, at least five months in advance of the expiration date.
- Not later than May 15 preceding the third or subsequent year of service, if the appointment expires at the end of that year; or, if the appointment expires during the academic year, at least twelve months in advance of the expiration date.

Notice of non-renewal becomes effective on personal delivery of the written notice to the faculty member, or on the date the notice is mailed to the faculty member's home address of record, whichever first occurs. Dates for notice of non-renewal are not affected by any credit for prior service. Failure to give timely notice of non-renewal of a contract will not result in a tenured appointment, but the faculty member will be eligible for an additional one year, nonrenewable appointment.

Faculty members on clinical or research appointments will not be terminated during the term of their appointments except for reasons that would be sufficient for the termination of tenured faculty. The same procedures for the termination of a tenured faculty member are followed to dismiss a clinical or research faculty member for cause prior to the expiration of the one-year term of the appointment.

**Non-renewal of Appointment  
due to Budgetary Concerns**

On occasion, shortfalls in budgets may not rise to the level of a financial exigency but nonetheless force reductions in workforce at the University. In those cases, it is imperative that the academic mission of the University guide those reductions.

Unless the President demonstrates (preferably by means of past performance evaluations) that an exception should be made to insure proper operation of the University or one of its educational units, the following procedures must be followed.

Sharp reductions must be made to the following categories of employees prior to any reductions in teaching, research, or clinical faculty.

- Employees of the University non-essential to the academic mission.
- Administration and staff not associated with academic units.

Only after drastic reductions have been made in these categories, any further reductions in teaching, research, or clinical faculty must be made as follows.

The President will request that an academic unit identify personnel for a possible reduction in force. The academic unit will use the following guide for the order of faculty reductions.

- Tenure-track faculty will have preference for retention over clinical and research faculty
- Clinical and research faculty will have preference for retention over temporary, part time and adjunct faculty

The academic unit will conduct an assessment of the impact of the reduction to the academic mission of the unit. This assessment should address the impact to teaching, research, and other scholarly activities, of any proposed reduction including but not limited to the impact of additional teaching load on tenured faculty, the reduction of research productivity, the reduction or elimination of classes or sections due to lack of available instructors, and the impact on the progression of students. The academic unit will then make a recommendation for or against the proposed reduction based on this assessment and deliver the list of personnel selected, the academic assessment, and final recommendation to the President. The President will then make a decision regarding the reductions. Should the President decide to take action against the recommendation of the academic unit, the

President will provide an independent assessment of the academic impact justifying the decision to the affected academic unit and the Faculty Senate.

Should tenure-track, clinical, research, or temporary faculty be selected for non-renewal, all procedures outlined in section 2, parts c-g of the American Association of University Professors Recommended Institutional Regulations on Academic Freedom and Tenure (2013 Revision) shall be followed with the following clarifications.

- In part 2.d., the individual making the decision not to renew an appointment is the President of the University.
- In part 2.g., the committee that reviews the faculty member's allegation that the decision was the result of inadequate consideration in terms of the relevant standards of the institution shall be the Faculty Grievance Committee.

This policy does not apply to the discontinuance of an academic unit, and should not be interpreted as giving preference to tenure-track over tenured faculty.

## **Post-Tenure Evaluation and Faculty Development**

### **Academic Tenure**

Tenure's importance derives from the significant benefits it confers not just on faculty but on colleges and universities themselves. Most critically, tenure safeguards the academic freedom so vital to open academic inquiry and discourse. It also enables faculty members to engage in long range and experimental projects that might not yield immediate results. It permits more open and candid faculty participation on committees dealing with controversial issues.

Tenure is earned after a probationary period of six years. At the end of that time the applicant's entire record, including



evaluations from peers at other institutions, is carefully scrutinized by Departmental and College committees, by the appropriate Department Chair and College Dean, and by the University Provost. This process is intended to insure that a tenured faculty member is a highly competent and conscientious professional who not only deserves to be employed by the University, but who also contributes significantly to the education of its students.

Tenure is not a sinecure guaranteeing lifelong employment. The University of Memphis, like most other institutions of higher learning, has a well- developed policy allowing it to terminate tenured faculty for "adequate cause."

The standards for "termination for adequate cause" are defined by statute at *Tennessee Code Annotated* 49-8-302, in the Tennessee Board of Regents policy on *Academic Freedom, Responsibility, and Tenure*, No. 5:02:03:00 and in this Handbook in the subsection entitled *Termination for Adequate Cause*.

The University has the burden of proving, through a formal hearing, that the tenured faculty member in question should be terminated on this basis.

### **Faculty Development**

Faculty development resources should be available to all faculty to help them meet their maximum potential and to acquire new skills, technologies, and bodies of knowledge in a society that is rapidly changing. In the area of teaching, sources of faculty development should provide information on course development, instructional techniques and technologies, pedagogical strategies that promote learning and effective methods of collaboration with student teaching assistants. In the area of scholarship, sources of faculty development should assist the faculty in enhancing the quantity and quality of written publications, conference presentations, proposals for external funding, performances, and creative products. In the area of outreach and service, sources of faculty development should be available to assist the faculty in contributing to departments, colleges, universities, communities, and professions.

The Department chair has the primary responsibility for counseling faculty members on how to improve their performances in areas of teaching, scholarship, and service. When a faculty member is in need of improvement, as defined in

the annual evaluation, that individual may be assigned a mentor, either from the department or outside of the department, who provides suggestions on improving teaching, scholarly activities, outreach and service. Each department will devise mechanisms to fulfill these objectives, such as a peer faculty evaluation and development committee at the departmental level. The Advanced Learning Center may also be used at the university level. The chair, in consultation with mentors and faculty within the department, has the primary responsibility for making suggestions on how to improve teaching, scholarly productivity, outreach and service.

Faculty development is particularly critical for faculty who have persistent unsatisfactory performance. A more elaborate process of faculty evaluation and development is recommended for a faculty member who has a history of unsatisfactory performance.

The chair has the primary responsibility of dispensing resources to faculty based on the annual faculty evaluation. These incentives include research support, travel funds, assignment of duties, summer teaching, and merit increases in salary. The dean, provost, and president may provide additional incentives to faculty members whose performance has been judged exceptional over a long period. These incentives include salary increases, funds for scholarly activities, and endowed faculty titles.

### **Unsatisfactory Performance of Tenured Faculty**

Unsatisfactory performance by a tenured faculty member requires additional scrutiny by the Chair, Department, and University. Unsatisfactory performance in post tenure review will lead directly to constructive efforts for faculty development. Unsatisfactory performance is distinct from "termination for cause," which has more stringent standards and a more stringent process, enabling assurance of academic responsibility and academic freedom. Since professional practices vary according to discipline, each Department or Division will be required to develop guidelines, in consultation with the Dean, that define standards of performance in teaching, scholarship, outreach, and service.

The chair's overall evaluation of a faculty member determines whether the faculty member receives a rating of unsatisfactory performance. An evaluation of (d) improvement needed or (e) failure to meet responsibilities initiates a process of further evaluation and faculty development. It is the responsibility of the

university to provide resources for faculty development and it is the responsibility of the faculty member to use the resources to make needed improvements.

If the faculty member is rated in the "improvement needed" category for two successive years, an ad hoc committee within the Department will review the Chair's evaluation and, if in agreement, will prepare a "faculty development program" which will outline the identified problems, suggest methods for improvement, and create a system for evaluating progress toward correcting the identified problems. An evaluation of "improvement needed" should never be considered sufficient cause for triggering procedures for termination.

A much more serious level of unsatisfactory performance exists when a faculty member fails to meet his or her responsibilities. Whenever a faculty member receives an evaluation of "failure to meet responsibilities" by the chair of his or her department or division in any given year, an ad hoc committee within the department will review the chair's evaluation and, if in agreement, will prepare a "faculty development report" in collaboration with the faculty member and the chair, which identifies specific problems, methods of improving performance, and systems of evaluating progress toward correcting the problems. In cases where the chair and the department review committee arrive at different conclusions, the dean will arbitrate and issue an evaluation of the faculty member for that year. If the faculty member or the chair contests the dean's decision, an ad hoc grievance committee will be constituted at the level of the University to review the decision. The composition of the ad hoc committee will be decided by the Provost in consultation with the dean, the chair, and the faculty member, in an effort to select an unbiased committee with adequate expertise to evaluate the faculty member.

If the faculty member receives an evaluation indicating "failure to meet responsibilities" for a second successive year and the faculty member requests an independent evaluation of his or her performance, the faculty member's personnel file will be reviewed by the dean and the college tenure and promotion committee, who will judge whether the chair's evaluation of "failure to meet responsibilities" is warranted under the specific department's guidelines. It is the right of the faculty member who receives an evaluation of unsatisfactory performance to examine any and all evaluation records and to offer rebuttals to any perceived inaccuracies in them. A final decision concerning

whether the chair's evaluation of "failure to meet responsibilities" is warranted lies with the dean of the college after full consideration of the recommendation of the college tenure and promotion committee.

If a faculty member receives an evaluation of "failure to meet responsibilities" for a third successive year, the president's appeals committee, the provost, and the president review the faculty members personnel file in order to judge whether the chair's evaluation is warranted. If the president decides that the evaluation of "failure to meet responsibilities" is warranted, then the process of termination for adequate cause may be initiated. The mere fact of successive negative reviews shall not in itself constitute evidence of "adequate cause" for dismissal, however. Nor shall it in any way diminish the administration's obligation to bear the burden of proof and to demonstrate through an adversarial proceeding, not only that negative evaluations rest on fact, but that the facts rise to the level of adequate cause for dismissal.

#### **Expiration, Relinquishment, and Termination of Tenure**

##### **Expiration of Tenure**

Tenure status expires when a faculty member retires. In addition, tenure will expire if a faculty member can no longer perform assigned duties or carry out the responsibilities of a faculty member due a physical or mental condition, as established by an appropriate medical authority.

##### **Relinquishment of Tenure**

Faculty relinquish or waive the right to tenure when they resign from the University of Memphis. The willful failure to report for service on the designated date that begins any academic term is considered to be a resignation unless, in the opinion of the president, the faculty member shows good cause for the failure. Tenured faculty maintain their tenure if transferred or reclassified by the university to another department or division. Tenure is not relinquished during periods of approved leaves of absences or during periods of service in administrative positions at the university.

### **Transfer of Tenure**

Faculty who hold a tenured appointment in a department or other academic unit, and then are transferred to another department or academic unit retain their tenure status. A faculty member cannot be compelled to relinquish tenure as a condition of the transfer.

### **Termination of Tenure for Reasons of Financial Exigency**

Tenured faculty may be terminated because of financial exigency at the University of Memphis if the Tennessee Board of Regents declares such a condition. Personnel decisions (including those related to tenured faculty) resulting from a declaration of financial exigency at the University must comply with TBR Policy No. 5:02:06:00.

### **Termination of Tenure for Curricular Reasons**

Tenured faculty members may be terminated for curricular reasons if (a) a program is deleted from the curriculum, or (b) there is substantial and continued reduction of student enrollment in a field. Before declaring that curricular reasons exist for terminating tenure, the president will ensure substantive participation by the Faculty Senate, the affected unit(s), and appropriate administrative officers in identifying the specific curricular reasons, evaluating the long term effects on the university's curriculum and strategic planning goals, and the advisability of initiating further action. If significant reorganization within a college is warranted, all affected faculty will be systematically and formally consulted. At the very least, systematic and formal consultation will include a formal proposal circulated several days (preferably at least a month) prior to a meeting of all interested faculty. Those who feel this process has not allowed full expression of all points of view will have the right to be heard formally by the provost and later by the president. If significant changes are to be made despite strong opposition, they should, if possible and desirable, be phased in gradually. Prior to initiating the process described below, the president will present a description of curricular reasons that warrant the termination of tenured faculty member(s). Each of these reasons will denote shifts in staffing needs that warrant greater reductions than those which are accommodated annually in light of shifting positions from one department to another or among colleges to handle changing enrollment patterns.

The president, after determining that curricular reasons may

warrant the termination of tenured faculty, will inform the Executive Committee of the Faculty Senate. At the earliest possible date after this notification, as agreed to by the president and the Executive Committee, the president or his or her designee will appear before the Senate for the purpose of presenting all relevant information. Senators and affected unit members will have an opportunity to pose questions and seek further information. The Faculty Senate will respond, in writing, within thirty days of this meeting.

After determining that termination of one or more tenured faculty members is required for curricular reasons cited above, the president will furnish each faculty member to be terminated a written statement of the reasons for the termination. Those reasons will address fully the curricular circumstances that warranted the termination and will indicate the manner and the information in and upon which the decision to terminate was reached. The president's written statement will also indicate that the faculty member has the opportunity to object in writing to the decision.

If a faculty member to be terminated indicates objections to the president's written statement and requests a review, the president will appoint a faculty committee consisting of a minimum of five tenured faculty members from a slate of ten tenured faculty members proposed by the Faculty Senate. That committee will conduct a hearing on the proposed termination and report its findings and recommendations to the president. The president, in writing and within a reasonable time, will inform the faculty member that the decision for termination stands or has been altered. The president's decision is subject to appeal to the chancellor and the Tennessee Board of Regents as provided in the TBR Policy on *Appeals and Appearances Before the Board*, No. 1:02:11:00.

When tenured faculty are terminated for curricular reasons, their positions will not be filled by others with the same areas of specialization for at least three years unless those terminated are offered written reappointment to their position at the previous rank and salary. Appropriate increases will be given which, in the opinion of the president, would constitute the raises that would have been awarded during the period not employed at The University of Memphis.

If termination of tenured faculty is necessary for curricular reasons, the president's decision as to which faculty should be

terminated will be based on an assessment of what is least seriously compromising to the University's educational programs. Termination for curricular reasons presumes a staffing pattern that cannot be warranted either by comparison with general load practices within the institution or by comparison with faculty loads in comparable departments or divisions at similar institutions. In that light, the president will also, at his or her discretion, base a decision on a careful assessment of the impact of the curricular reason on staffing requirements in the division or department as compared to overall patterns in the institution and to comparable departments or divisions in institutions similar to The University of Memphis.

Unless the president demonstrates (preferably by means of past performance evaluations) that an exception should be made to protect the quality of an educational program, the following considerations should be used as a guide. These, however, are not considered to be mandatory in determining the order of faculty reductions in a department or division.

- Tenured faculty should have priority over part-time faculty, temporary faculty, and tenure-track faculty in the probationary period.
- Tenured faculty with higher rank should have priority over those with lower rank.
- Tenured faculty with appropriate higher academic degree (s) should have priority over those with lower degrees.
- Tenured faculty with greater seniority in rank should normally have priority over those with less seniority.

### **Definitions**

*Program is deleted from the curriculum* means that the Tennessee Board of Regents has taken formal action to terminate a degree major, concentration, or other curricular component and, therefore, reduces or eliminates the need for faculty qualified in that area of specialization.

*Substantive and continued reduction of student enrollment in a field* means that, over a period of at least three years, student enrollment in a field has decreased at a rate considerably higher than that of the institution as a whole. In addition, the decrease has left faculty-student ratios that, in the opinion of the president, cannot be justified either by comparison with similar load practices at the University of Memphis, or in comparison with similar institutions chosen by the president.

When tenured faculty are to be terminated for curricular reasons, the president will make every possible effort to relocate them in existing vacant positions for which they are qualified. If, in the opinion of the president, relocation within the institution is a viable alternative, the University of Memphis has an obligation to provide significant effort to relocate the faculty member, including reasonable retraining costs. The final decision on relocation is within the discretion of the president. When relocation within the institution is not possible, or the faculty member involved desires to go elsewhere, the university will make every reasonable effort to assist in relocation.

### **Termination for Adequate Cause**

Faculty with tenure, or faculty members on tenure-track appointments, may be terminated prior to the end of the term of appointment for *adequate cause*.

*Adequate cause* is defined as:

1. Incompetence or dishonesty in teaching or research
2. Willful failure to perform the duties and responsibilities for which the faculty member was employed; or refusal or continued failure to comply with the policies of the Tennessee Board Regents, the university, or department; or to carry out specific assignments, when these policies or assignments are reasonable and nondiscriminatory.
3. Conviction of a felony or a crime involving moral turpitude
4. Improper use of narcotics or intoxicants which substantially impairs fulfillment of departmental or institutional duties and responsibilities.
5. Capricious disregard of accepted standards of professional conduct
6. Falsification of information on an employment application, curriculum vitae, or other information concerning qualifications for a position.
7. Failure to maintain the level of professional excellence and ability demonstrated by other members of the faculty in the department or division of the university.

NOTE: The above listed grounds for "termination for adequate cause" are defined by state law at Tennessee Code Annotated 49-8-302. The University is committed to fulfillment of the *Post Tenure Evaluation and Faculty Development* prior to invoking either *Provision 1* (incompetence in *teaching* portion only) or *Provision 7* as grounds for termination for cause.



## **Procedures for Termination for Adequate Cause**

Termination of a faculty member who has tenure or is on tenure-track prior to the end of the annual specified term of the appointment, is subject to UM Policy 1564 (Grievance Process and Conflict Resolution involving “Demotion, Suspension Without Pay, or Termination for Cause; and in Cases alleging Work assignment or condition of work that Violate Federal Law, Tennessee State Law, TBR Policy or University Policy or Inconsistent Application of TBR or University Policy) and the following procedures:

1. No termination shall be effective until the following procedures have been complied with:
2. Suspensions pending termination shall be governed by the following procedure.
  - a. A faculty member may not be suspended pending completion of steps 4 through 9 unless it is determined by the institution that the faculty member's presence poses a danger to persons or property or a threat of destruction to the academic or operational processes of the institution. Reassignment of responsibilities is not considered suspension; however, the faculty member must be reassigned responsibilities for which he/she is qualified.
  - b. In any case of suspension, the faculty member shall be given an opportunity at the time of the decision or immediately thereafter to contest the suspension; and, if there are disputed issues of fact or cause and effect, the faculty member shall be provided the opportunity for a hearing on the suspension as soon as possible at which time the faculty member may cross-examine his/her accuser, present witnesses on his/her behalf, and be represented by an attorney. Thereafter, whether the suspension is upheld or revoked, the matter shall proceed pursuant to these procedures.
3. Except for such simple announcements as may be required concerning the time of proceedings and similar matters, public statements and publicity about these proceedings by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board.
4. Prior to the convening of a President's Panel under UM Policy 1564, upon a recommendation by the provost to the president or upon a decision by the president that these procedures should be undertaken in consideration of the termination of a tenured

faculty member, one or more appropriate administrators shall meet privately with the faculty member for purposes of attempting to reach a mutually acceptable resolution of the problems giving rise to the proposed termination proceedings.

5. If no mutually acceptable resolution is reached pursuant to paragraph 4,

a. The faculty member shall be provided with a written statement of the specific charges alleged by the institution which constitute grounds for termination and a notice of hearing before a President's Panel, specifying the time, date, and place of the hearing. The statement and notice must be provided at least twenty (20) days prior to the hearing. The faculty member shall respond to the charges in writing at least five (5) days prior to the hearing. The faculty member may waive the hearing by execution of a written waiver.

b. Pursuant to UM Policy 1564, the President's Panel that hears a case and determines if adequate cause for termination exists according to the procedure hereinafter described, shall be appointed from a President's Committee consisting of twenty (20) faculty members, with at least two (2) from each college or school, selected annually by the Faculty Senate and representing the breadth of the faculty. The President's Panel that hears a case shall consist of four faculty members chosen from the President's Committee, but may not include a member of a grievant's department or college. The President of the University and the President of the Faculty Senate shall each select two faculty members on the President's Committee to serve on a President's Panel. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Members of the committee shall not discuss the case outside committee deliberations and shall report any ex-parte communication pertaining to the hearing to the president who shall notify all parties of the communication.

6. The hearing committee (President's Panel) shall elect a chairperson who shall direct the proceedings and rule on procedural matters, including the granting of reasonable extensions of time at the request of any party and upon the showing of good cause for the extension.

7. The chairperson of the hearing committee (President's Panel) may in his/her discretion require a joint pre-hearing conference with the parties which may be held in person or by a conference telephone call. The purpose of the pre-hearing conference should

- include but is not limited to one or more of the following:
- a. Notification as to procedure for conducting the hearing.
  - b. Exchange of witness lists, documentary evidence, and affidavits.
  - c. Define and clarify issues.
  - d. Present stipulations of fact.

A written memorandum of the pre-hearing conference should be prepared and provided to each party.

8. A hearing shall be conducted by the hearing committee (President's Panel) to determine whether adequate cause for termination of the faculty member exists. The hearing shall be conducted according to the procedures below.
- a. During the hearing, the faculty member will be permitted to have an academic advisor present and may be represented by legal counsel of his/her choice.
  - b. A verbatim record of the hearing will be taken and a typewritten copy will be made available to the faculty member, upon request, at the faculty member's expense.
  - c. The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
  - d. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the committee in securing witnesses and making available documentary and other evidence that is under its control.
  - e. The faculty member and the administration will have the right to confront and cross examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and, if possible, provide for interrogatories. An affidavit may be submitted in lieu of the personal appearance of a witness if the party offering the affidavit has provided a copy to the opposing party at least ten (10) days prior to the hearing and the opposing party has not objected to the admission of the affidavit in writing within (7) days after delivery of the affidavit or if the committee chairperson determines that the admission of the affidavit is necessary to ensure a just and fair decision.
  - f. In a hearing on charges of incompetence, the testimony shall include that of qualified faculty members from the institution or other institutions of higher education.
  - g. The hearing committee will not be bound by strict rules

of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

- h. The findings of fact and the report will be based solely on the hearing record.
  - i. The president and the faculty member will be provided a copy of the written committee report. The committee's written report shall specify findings of fact and shall state whether the committee has determined that adequate cause for termination exists and, if so, the specific grounds for termination found. In addition, the committee may recommend action less than dismissal. The report shall also specify any applicable policy the committee considered.

9. After consideration of the committee's report and the record, the president may in his/ her discretion consult with the faculty member prior to reaching a final decision regarding termination. Following his/her review, the president shall notify the faculty member of his/her decision, which, if contrary to the committee's recommendation shall be accompanied by a statement of the reasons. If the faculty member is terminated or suspended as a result of the president's decision, the faculty member may appeal the president's action to the Chancellor pursuant to TBR Policy 1:02:11:00. Review of the appeal shall be based upon the record of hearing. If upon review of the record, the Chancellor notes objections regarding the termination and/or its proceedings, the matter will be returned to the president for reconsideration, taking into account the stated objections, and, at the discretion of the president, the case may be returned to the hearing committee (President's Panel) for further proceedings.

## Chapter 5 - Instruction

---

### Contents

---

#### Academic Instruction

- **Textbooks and Faculty-Produced Instructional Materials**
- **Academic Dishonesty**
- **Academic Advising**
- **Confidentiality of Student Records (The Buckley Amendment)**
- **Classroom Misconduct**
- **Grading System**
- **Class Rolls**
- **Faculty Teaching Loads**
- **Course Introduction and Syllabus**
- **Class Attendance and Grading**
- **Office Hours**
- **Faculty Meetings**
- **Faculty Absences**
- **Inclement Weather and Emergency Closings**
- **Veterans' and Athletes' Progress Reports**
- **Examinations**
- **Commencement**
- **Sources of Student Support**

---

#### Academic Instruction

---

##### **Textbooks and Faculty-Produced Instructional Materials**

The selection of textbooks is a departmental function. Faculty members submit, through the department chair, orders for books and supplies required in their classes. Faculty may submit textbook requests on-line at The University Store website: <http://uofmemphis.bkstr.com>

Copyrighted material prepared by the University of Memphis faculty and staff may be required for student purchase only by the unanimous decision of a committee of the department in which it is to be used

(see Policy UM1669 - Faculty Authored Educational Material). The purchase of these materials must also be approved by the department chair and, in the case of materials designed only for University of Memphis audiences, the dean. The dean will approve the selection process to assure its objectivity. In addition, anyone preparing materials to be copyrighted and designed only for a University of Memphis audience must obtain advance approval to avoid possible financial loss and must comply with Policy UM1607- Intellectual Property.

Faculty-authored material that students are required to purchase may not be sold directly to students by a faculty member, department, or college, but must be available for purchase at established outlets, including the University Bookstore.

**Academic Dishonesty** The University of Memphis Code of Student Conduct defines academic misconduct as all acts of cheating and plagiarism. Academic Dishonesty is defined and maintained on the Office of Judicial and Ethical Programs website at <http://saweb.memphis.edu/judicialaffairs/dishonesty/definitions.htm>

### **Disciplinary Process**

Faculty, teaching assistants, and staff are encouraged to contact the Office of Judicial and Ethical Programs if they suspect dishonesty to discuss various responses under University policies. See also the Code of Student Conduct in the *Student Handbook* at <http://www.memphis.edu/stuhand2/>. As a first step, a faculty member may meet with the student to determine if an actual violation has occurred. Faculty may also take the following actions.

### **Request for hearing**

A faculty member who has good cause to believe a student has engaged in academic misconduct may request a hearing of the allegation of academic misconduct by contacting the chair of the Academic Discipline Committee or the University judicial officer. A student found guilty of academic misconduct by the Academic Discipline Committee may be awarded a grade of "F" for the course, assignment, or examination at issue, and is also subject to additional disciplinary sanctions including suspension or expulsion. A hearing before the Academic Discipline Committee is conducted under the procedures provided in the Code for Student Conduct. The committee members are faculty and students appointed annually by

the president.

### **Summary Discipline**

A faculty member who has good cause to believe that a student has engaged in academic misconduct may choose to exercise *summary* discipline as outlined below.

A student's grade in the course, assignment, or examination affected by the alleged academic misconduct may be lowered to any extent, including a grade of "F."

If a faculty member exercises summary discipline, the faculty member must notify the appropriate department chair of the action. The department chair will notify the student of the action in writing and advise the student of the right to appeal the summary discipline to the Academic Discipline Committee.

**Student Appeal of Summary Discipline:** a student may appeal an exercise of summary discipline by a faculty member to the Academic Discipline Committee.

### **Multiple Acts of Academic Misconduct**

Any student who receives more than one "F" as a result of summary discipline by a faculty member may be summoned to appear before the Academic Discipline Committee and may be subject to additional sanctions, including suspension or expulsion. A decision of the Academic Discipline Committee may be appealed by the student to the University Appeals Committee.

### **Sanctions**

In addition to receiving a lower grade on an assignment or in the course, the following sanctions may be imposed by the Academic Discipline Committee upon any student found to have engaged in academic dishonesty.

- **Probation.** Probation is for a designated period of time and includes the probability of more severe disciplinary sanctions if the student is found to be violating any institutional regulation(s) during the probationary period.
- **Loss of Privileges.** Denial of specified privileges for a designated period of time.
- **Discretionary sanctions.** Work assignments, service to the University or other related discretionary assignments.
- **University suspension.** Separation of the student from the University for

a definite period of time, after which the student is eligible to return. Conditions for readmission may be specified.

- University expulsion. Permanent separation of the student from the University.

## **Academic Advising**

The University of Memphis is committed to quality academic advising that fosters student growth and development. Quality advising helps students understand the aims and purposes of higher education; provides information and resources concerning the University's program, opportunities, and requirements; and helps students identify their educational and career goals. Faculty advisors have the following responsibilities:

- Keep up-to-date files on advisees
- Provide accurate academic information about course offerings, departmental policies, degree requirements, study habits, grade point averages, graduate study opportunities, and career choices related to the major
- Post regular office hours and seek to be flexible and reasonable to individual needs
- Encourage advisees to review their progress toward degree completion to assure early detection of problems

Advising assistance is available from the college-level advisor or degree analyst. A handbook designed to assist advisors is available in each department chair's office and also in Academic Affairs. For graduate advisors, the *Graduate Coordinator's Handbook* is available in each departmental graduate coordinator's office.

## **Advising Student Organizations**

Faculty members are at times asked to serve as advisors to honorary, leadership, and recognition societies, professional organizations, social fraternities and sororities, and special interest groups (e.g., political, religious, athletic), each of which is expected to have a faculty or administrative advisor. Advisors generally work with organizations on matters such as leadership, finance, and general operations. In addition, faculty advisors are expected to keep up-to-date records and sign for the expenditures from student activity fees. Further information for faculty is available from the Office of Student Organizations.

## **Confidentiality of Student Records (The Buckley**

It is the policy of the Tennessee Board of Regents and the University of Memphis to comply with the Family Education



## **Amendment)**

Rights and Privacy Act (also called FERPA or the Buckley Amendment). The Buckley Amendment was designed to protect the confidentiality of personally identifiable educational records of students and former students. Each faculty and staff member employed by the University of Memphis is individually responsible for complying with its provisions. Full guidelines are available in the Office of the Registrar and departmental offices or on the U. S. Department of Education web site (<http://www.ed.gov/>). Violations of the Buckley Amendment may subject a faculty or staff member to disciplinary action.

According to the Buckley Amendment:

- Students have the right to see their records, except where the right has been waived or where the record contains confidential letters or recommendations placed there prior to January 1, 1975.
- Information should not be released from the student's records to persons other than the student; parents do not have the right to see a student's records except when the student is a dependent as defined by law.
- Faculty members should refer requests for access to information to the University Registrar.
- When returning any graded material to students, faculty members should be careful not to allow the grades to be seen by anyone other than the student receiving them.
- Faculty members should not post grades without the written permission of the student.

## **Classroom Misconduct**

Faculty have ultimate control over classroom behavior and may eject from the classroom any student engaged in disruptive or violent conduct. Disruptive conduct includes conduct that intentionally interferes with normal classroom procedure or presentation of the instructor or other student(s), with academic evaluation, or with another student's right to pursue course work. Classroom misconduct also includes any physical abuse or threat of abuse that is dangerous to the health, safety, or well-being of the instructor or other students whether on or off campus as related to classroom procedure or academic evaluation (UofM Policy No. I:2E:00:05).

Faculty must report any incident to the University judicial officer and the department chair. The University judicial officer will meet with the instructor and the chair to determine the appropriate action before the next class period. If there is

disagreement as to readmission, the student will be excluded from the classroom pending a hearing. If there is agreement for readmission, the student will be readmitted subject to any restrictions or discipline prescribed by the University judicial officer.

When it is determined that the student should not be readmitted, or where there is disagreement, the University judicial officer will arrange a hearing. The hearing should be before the dean of the college where the incident occurred or a designee, the University judicial officer or a designee, and a student appointed by the president. The purpose of the hearing will be to determine whether the student will be readmitted to the classroom. The hearing must be conducted within five class days under the procedures set forth in the *Code of Student Conduct*. An appeal to the president is available.

When a student is readmitted and circumstances warrant, the University judicial officer may initiate formal disciplinary charges as set forth in the section entitled "The Code of Student Conduct Hearing Procedures" in the *Code of Student Conduct*.

## **Grading System**

### **Grading**

Evaluation of student work at the University of Memphis is expressed by letters, which are converted to numbers (quality points) for the purposes of averaging grades. Grades and Quality Points are maintained in the Registrar's Office and can be found at <http://www.memphis.edu/registrar/student/records/gpa.htm>.

### *Notes*

1. This grading system does not apply to the Cecil C. Humphreys School of Law.
2. The audit grade (AD) is posted on a student record only if a faculty member judges that a student has attended enough classes to earn the notation. Audit students should be informed at the beginning of the semester that the AD notation will be based only on attendance since university policy restricts audit students from participation in the class.
3. The grade of Incomplete (I) indicates that a student has not completed a course for some unavoidable reason that the instructor has found acceptable. Unless the student completes the requirements for removal of "I" within 45 days (90 days for graduate courses) from the end of the semester or summer session in which it was received, the grade will be changed to "F". Extensions may be granted if the instructor's absence from the campus makes it impossible for a student to remove the "I" or in other circumstances acceptable to the instructor. *A grade other than "I" or "IP" ("in progress" for graduate courses) may not be changed as the result of additional work after a grade has been submitted to the Registrar's Office. Grades may be appealed, as described below.*

### **Grade Reporting**

Approximately a week before the end of each term, faculty will be notified to record final grades. Grades are due within 44 hours after the last examination. A grade of "F" must be assigned to students who begin attendance, stop attending, and failed to withdraw; faculty must also report the last date of known attendance for these students. The date of last attendance may be based on the last test taken or last assignment submitted if class attendance is not a requirement.

### **Safeguarding and Retaining Grades**

Faculty members are responsible for insuring the documentation of students' standing in classes throughout the semester. At a

minimum, a duplicate grade record should be stored in an alternate location, and the department chair should be notified of that location. This will insure that grades are protected in the event of the death or serious illness of the instructor, or a natural disaster destroys the original grade book, test papers, or other documentation.

Faculty should keep the records on which final grades are based for at least twelve months. Term papers and examinations may be returned to students, but a record of scores used to calculate the final grade should be maintained.

### **Posting Grades**

Faculty should post grades in the myMemphis portal as instructed on the Registrar's website at <http://www.memphis.edu/registrar/faculty/index.htm>. Grades are available to students on their student portal page within two to three days after they are reported to the Registrar's Office.

### **Withholding Grade Reports**

Tennessee law requires the University to withhold grade reports, transcripts, and diplomas from students who have financial obligations to the university. Faculty members should check with the Registrar's Office before furnishing anyone with a written certification of final grades.

### **Grade Changes**

Once grades are submitted to the Registrar's Office, they can be changed only by the faculty member except as provided for in the Grade Appeals Procedure. Grades other than I and IP may not be changed after they are submitted solely on the basis of additional work by students. Grade changes for undergraduate courses are made in writing by faculty through the department chair to the Registrar's Office (Corrections). Grade changes for graduate courses must be made in writing to the dean of the Graduate School.

### **Undergraduate Grade Appeals**

The undergraduate grade appeal procedure is designed to provide any undergraduate student at The University of Memphis with a clearly defined avenue for appealing the assignment of a course grade that a student believes was based on prejudice,

discrimination, arbitrary or capricious action, or other reasons not related to academic performance. In all cases the complaining student has the burden of proof with respect to the allegations in the complaint and in the request for a hearing. Students pursuing the appeals procedure must follow steps one through three listed below and file for a hearing in accordance with the following time limits. Grade appeals for the fall semester must be filed in the Office of the Vice Provost for Undergraduate Programs by March 15 following the semester in which the grade was earned. Grade appeals for the spring or summer semesters must be filed in the Office of the Vice Provost for Undergraduate Programs by October 15 of the same year. If a student fails to pursue the procedure within the time limits, the disposition of the student's complaint made in the previous step becomes final. If the dean or chair fails to respond to the student's complaint within the time limits, the Undergraduate Grade Appeals Committee will act on the student's complaint. The procedure is terminated if the student and the instructor agree on the grade or if the student fails to appeal a decision within the appropriate time limit. All correspondence and records will be retained in the office in which the complaint is terminated.

Step 1. The student will first consult with the instructor in an effort to provide a satisfactory resolution of the complaint. In the event the student cannot schedule a meeting with the instructor, the student may contact the department chair, who will schedule the meeting between the student and the instructor. The only exception to this procedure is the case where the instructor has been terminated by the university or is unavailable, so that it is impossible to complete Step 1.

Step 2. If the complaint is not resolved in Step 1, the student may present the complaint in writing to the chair of the department in which the course was offered. In consultation with the instructor and the student, the department chair will attempt to resolve the complaint within a fifteen (15) day period dating from the formal presentation of the written complaint. The department chair may counsel with faculty of the department. If the department chair was the instructor or if for any reason the chair disqualifies herself or himself, the student may proceed to Step 3. The student's grade may be changed in Step 2 by the written consent of the instructor and the student.

Step 3. If the complaint cannot be resolved at the level of Step 2 within the prescribed fifteen (15) day period, the student may appeal further by presenting to the dean of the college a written

statement that clearly explains the basis of the appeal (prejudice, discrimination, arbitrary or capricious action, or other reasons not related to academic performance), the evidence for this appeal, and any supporting data. The chair must also forward a copy of all correspondence and records to the dean. The dean may utilize any resources available to the dean's office to resolve the grade conflict within a fifteen (15) day period. If the dean finds that the request does not have merit, the dean will so notify the student, the instructor, and the chair. If the dean and the chair are in agreement that the grade should be changed, either raised or lowered, the dean will be empowered to change the grade without the instructor's consent; otherwise the grade will remain as recorded. Either the student or the instructor may appeal the dean's decision made under Step 3 by filing a written request in the Office of the Vice Provost for Undergraduate Programs for a hearing before the University Grade Appeals Committee within the time limit set forth above. In the event of such an appeal, the decision will be stayed, pending the completion of the procedure in Step 4. The dean must be provided a copy of the hearing request.

Step 4. The person requesting a hearing before the University Grade Appeals Committee must complete a grade appeal form provided by the Office of the Vice Provost for Academic Affairs by March 15 for grades earned the preceding fall semester and by October 15 for grades earned the preceding spring and summer semesters. All supporting documents should be included with this form at the time of submission. The vice provost for academic affairs will forward the request to the chair of the undergraduate grade appeal committee. The chair will subsequently distribute copies of the request to the members of the committee for consideration. If the committee finds that the student's or the instructor's request merits a hearing, the committee will notify the student, the instructor, the chair, and the college dean of the time and location of the hearing. If the committee finds that the request does not merit a hearing, the student and the instructor are to be notified in writing. The University Grade Appeals Committee will function as a review board and has the power to allow the assigned grade to stand or to raise or lower the assigned grade. Its decision must be formally announced, in writing, to all parties. The decision of the University Grade Appeals Committee will be final. The University Grade Appeals Committee will be composed of seven members and seven alternates as follows:

A chair designated by the vice provost for academic affairs, a faculty member and alternate designated by the dean of the

college involved, two faculty members and two alternates elected by the Faculty Senate, one student and one alternate from the college involved, and two students and two alternates selected through the Student Government Association. Although the primary responsibility of the committee is to review appeals, the committee will report any obvious discriminatory or capricious conduct on the part of either the student or the instructor to the appropriate vice provost for consideration and action.

### **Graduate Grade and Retention Appeal Procedures**

These appeal procedures are designed to provide any graduate student with a clearly defined avenue for appealing the assignment of a course grade by an instructor or dismissal from a graduate program. Both appeals procedures, grade appeals and retention appeals, are specifically designed to review a decision that the graduate student believes to be based on prejudice, discrimination, arbitrary or capricious action, or other reasons not related to academic performance. In all cases the complaining students have the burden of proof with respect to the allegations in the complaint and in the request for a hearing. The graduate grade appeal procedure begins in the department with the course instructor. If the dispute is not resolved with the course instructor, the student then obtains a Graduate Grade Appeal Form in the Graduate School Office (also available online at <http://www.memphis.edu/gradcatalog/gradeappeals.php> in order to continue the appeal. The grade appeal procedure is a four-step process that may result in a hearing before the Graduate Grade Appeals Committee. For details of the graduate grade appeal procedure, see the graduate bulletin. The retention appeal procedure begins with a student requesting from the department chair, in writing, a review of the dismissal from a program. The retention appeal is a four-step procedure that may result in a hearing before the University Council for Graduate Studies and Research. For details of the graduate retention appeal procedure, see the graduate bulletin.

### **Class Rolls**

Students may not attend classes unless they are properly enrolled. A class attendance worksheet is sent to all faculty for the first class session to record each student's initial attendance. Students attending class, but who are not listed on the attendance worksheet, are required to process a "late add" in their dean's

office. The names of students who have not attended any class for the first two weeks of the regular semester, or the first week for shorter sessions, must be reported to the Registrar's Office. Following the last day to add classes, faculty are sent verification rosters of all students officially enrolled in their classes.

Faculty with Student Information System (Banner) access may print or download "real-time" class lists at any time. Students are allowed to drop classes up through approximately midsession.

### **Faculty Teaching Loads**

Each semester, the chairs face a significant number of challenges in balancing the needs of their departments. It is the chairs responsibility to ensure that teaching and service loads are equitably distributed among the faculty, allowing research-active faculty adequate time in which to carry out their research. Simultaneously, the chair has to respond to the demands placed upon the department: e.g., the number of general education classes to be taught, the number of majors to be supported, the number of faculty vacancies to be filled, the number of graduate programs to be supported, the amount of part-time money that is available, and so forth).

In balancing the needs of the department, the chairs should use the following general guidelines:

- It is appropriate to base teaching loads upon departmental and disciplinary criteria and upon the amount of documented research and/or service activity of the faculty member.
- It is generally inappropriate to assign the same teaching loads to all faculty. The amount of research and/or service activity must be taken into account.
- Tenured and tenure-track faculty should be strongly encouraged to teach lower division courses.
- The preponderance of course-hours should be taught by tenured and tenure-track faculty.

Teaching load discussions should take place during the faculty member's annual evaluation period.

### **Course Introduction and Syllabus**

At the first meeting of a class, faculty should discuss the specific objectives of the course; outline the topics to be studied; announce the number and nature of required reports, experiments, and tests; and explain the means that will be used to evaluate students' work. This information should be included in a course syllabus distributed to the class. For undergraduate



classes, the attendance policy (see below) should also be described.

**Class Attendance and Grading** At their discretion, faculty may use class attendance in determining grades. If attendance is used, a complete written statement of the attendance policy that details the weight of attendance in determining the final grade must be given along with the course syllabus to students present at the first and second meetings of the class.

Medical Absences. Student Health Services does not document medical absences for students. If a medical excuse is required as part of a class attendance policy, students must obtain this service at another health facility.

**Office Hours** Faculty members are expected to establish, publicize, and maintain scheduled office hours during which they are available to students for conferences and special instruction. Specific policies regarding office hours are set within individual departments. These policies are applicable to those teaching the summer session as well as in the regular semesters. See also UofM Policy UM 1286 - Faculty Office Hours).

**Faculty Meetings** Meetings of the University faculty are called by the president, provost or a designated representative and the dates are published in the bulletins. Faculty are expected to attend these meetings. College meetings are called by the deans, who will announce times and locations.

**Faculty Absences** A faculty member who must be absent from a class for any reason is responsible for seeing that the class receives instruction. For an anticipated absence the faculty member will propose a plan to the department chair, who will notify the college dean. If the absence is unanticipated, the chair will make emergency arrangements and notify the college dean as soon as practicable. For a prolonged absence necessitating the employment of a substitute teacher, the faculty member and department chair must make arrangements with the college dean and the provost. See also the section of this *Handbook* on sick leave and Policy UM1544 - Sick Leave and Bereavement Leave.

**Inclement Weather and  
Emergency Closings**

When inclement weather or other emergency situations make driving hazardous, university officials may curtail all operations until conditions improve. Unless and until an official closing announcement is issued by local news media, faculty members are expected to hold classes as usual. Questions regarding cancellation of classes or curtailing of operations should be addressed to the department chair or call the emergency hotline 901-678-0888. Reference: <http://policies.memphis.edu/UM1531.htm>

**Veterans' and Athletes' Progress Reports** The University is required to submit to the Veterans Administration information regarding class attendance and participation of veterans and dependents receiving benefits. Twice a semester and once during each summer term, faculty are asked to complete and return forms to the Office of Veterans Services for students enrolled in their classes. Reference: <http://www.memphis.edu/registrar/student/register/veterans.htm>

The Center for Athletic Academic Services asks faculty approximately twice a semester for progress reports of athletes in their classes. The Center provides counseling, tutoring, scheduling assistance, career planning, and special services for all University of Memphis student athletes. Reference: <http://www.memphis.edu/caas/>

**Examinations** The schedule of final examinations is published in the *Schedule of Classes* each semester. Examinations are to start promptly at the designated times and may not extend beyond the period indicated (two hours for the fall and spring semesters, ninety minutes for the summer terms). Faculty members may not give examinations at a time other than the scheduled one, except with written permission from the department chair and college dean. Make-up examinations may be given after the scheduled time to students who have been absent and who are able to justify their absence.

A student who is absent from the final examination without permission of the faculty member incurs a grade of F and may, depending on the weight of the examination in determining the final grade, incur a grade of F for the course.

**Commencement**

The University's annual commencement consists of three convocations: spring (May), summer (August), and winter (December). At least one-fourth of all full-time faculty members in each department are to participate in the spring and winter convocations; in the summer, one-fourth of the faculty who teach

in the second term, plus the chair or a designee, are to participate.

Selection of participants is the responsibility of the department chair. At least six weeks prior to each convocation, the chair will furnish the director of commencement with their names. Academic regalia should be ordered at least one month before the convocation through the Commencement Office.

## **Sources of Student Support**

### **The Academic Common Market**

The Academic Common Market is designed to allow students from southern states to pay state tuition while attending the University of Memphis. This arrangement is available only for students whose home states do not offer the designated program. The participating states are Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia. A list of available programs can be obtained from the state coordinator in a student's home state or from the Office of the Dean of the Graduate School. Current SREB common market guidelines and requirements may be found on the web at [www.sreb.org/programs/acm/acmindex.asp](http://www.sreb.org/programs/acm/acmindex.asp).

There are two requirements: (1) students must be fully admitted to a degree-seeking program that has been approved as an Academic Common Market program (non-degree and conditional students are ineligible); (2) students must obtain a letter certifying residency from their home state's Academic Common Market coordinator.

**Adult Services** <http://www.memphis.edu/acss/>

Adult and Commuter Student Services serves adult students who are beginning or returning to school after some time in the workplace or home, and traditional and non-traditional age commuter students. Adult Services maintains the Adult Information Center, a resource area where services and special programming for this student population is posted regularly. Information on the adult scholarship program is also available.

### **Athletic Academic Support**

**Services** <http://www.memphis.edu/caas/>

The Center for Athletic Academic Services is located in Wilder Tower and provides counseling, tutoring, scheduling assistance,

career planning, and special services for all the University of Memphis student athletes. The center also handles NCAA interpretations and the academic eligibility requirements of student athletes.

**Center for Counseling, Learning and Testing** <http://www.memphis.edu/cclt/>

The Center for Counseling, Learning and Testing is a comprehensive counseling and assistance facility providing academic, psychological, and career resources for students. The Center for Counseling, Learning and Testing encompasses a variety of free counseling and helping activities through its offices for Academic Counseling, Psychological Counseling, and Student Disability Services.

***Academic Counseling***

All freshmen, transfer, and readmitted undergraduate students who have not decided upon an academic major are assigned to the Academic Counseling Unit (ACU). The purpose of the ACU is to provide academic counseling that will prepare students to choose a major and then be enrolled in one of the University of Memphis's degree-granting colleges. The counselors are available by appointment to discuss the many academic programs offered and to help students explore these possibilities as they relate to their personal and educational goals.

***Psychological Counseling***

The psychological counseling component provides students with the opportunity to discuss and explore any concerns and feelings that are of importance to them. This includes problems in relationships, feelings of loneliness or inadequacy, family or marriage difficulties, depression, the inability to concentrate or study, or simply "feeling the need to talk things out." The staff is professionally trained and experienced in working with a wide variety of student concerns through individual and group counseling, testing, programs and workshops, and referral to additional service centers on and off campus.

***Disability Resources for Students*** <http://www.memphis.edu/sds/disabilitysvcs/index.php>

The Student Disability Services Office provides, arranges, and coordinates academic accommodations and support services to

qualified students with disabilities to enable them to fully access the educational opportunities at The University of Memphis. To establish eligibility for disability accommodations and services, students are required to register with the Student Disability Services Office and provide current medical or psycho-educational documentation of the disability from a professional who is appropriately qualified to diagnose the particular disability. Disability information is strictly confidential, is not released without written consent, and does not appear on transcripts or any permanent record of the University.

Students must follow established University procedures for obtaining accommodations and services. Specific accommodations and services are determined on an individual basis and are based on documented functional limitations resulting from the disability. Services available include orientation to disability services, assessment of disability-related needs, academic accommodation plans each semester, test accommodations, books on tape, note takers, readers, scribes, interpreters, Braille, enlarged print, loan of adaptive aids and special equipment, adaptive computer lab, guidance and counseling, adapted campus housing, accessible parking, and limited campus shuttle service.

Since some services require advance notice, applicants are requested to provide sufficient notice to Student Disability Services of anticipated needs and expected date of enrollment. For more detailed information, please contact the Director of Student Disability Services at 678-3070.

**Educational Support Program** <http://www.memphis.edu/esp/>

The Educational Support Program (ESP) provides free tutorials through six learning centers: Academic Enhancement (General Education courses, study, reading, test-taking strategies), English (writing across the curriculum), Mathematics (math for all courses), Business (all courses in those majors), Foreign Language (Spanish and other languages), and Engineering or Engineering Technology (all majors). Students must be enrolled in the course at the University of Memphis for which the tutorial is requested. Tutors are available for both individual and group study sessions. Computer programs for graduate exams are for student use. Workshops are regularly presented and can be scheduled for classes and organizations.

**Childcare Services** <http://www.memphis.edu/childcareweb/>

Childcare services are available for the University of Memphis students at a modest fee. Space is available on a first come, first served basis. The center accepts children between the ages of 30 months and 12 years. Hours of operation are posted on the web at <http://www.memphis.edu/childcareweb/hours.php>. The Child Care Center is located at 3875 Tiger Paw South (Northeast of the Central Avenue Parking Lot-adjacent to the University town-home community).

**Intensive English for Internationals** <http://www.memphis.edu/iei/index.php>

The Intensive English language program is available to meet the needs of internationals in Memphis and the surrounding area, and from abroad. English language instruction for nonnative speakers of English is offered at five levels of instruction. For students coming from abroad, the program follows the University calendar for the fall and spring semesters. An eight-week session is offered during the summer. Internationals residing locally can enroll for shorter periods of time. Classes designed to meet special needs can be arranged outside of those regularly scheduled.

**Center for International Programs and Services (CIPS)** <http://www.memphis.edu/cips/index.php>

The International Students Office in the Center for International Programs and Services advises international students, visiting scholars, and researchers regarding federal immigration regulations, health insurance matters, employment issues, and personal concerns, as well as prepares federal documents necessary for visiting scholars' entrance into the United States.

The office also advises the International Students Association and several international student clubs.

**The Office of Multicultural Affairs** <http://www.memphis.edu/multiculturalaffairs/>

The Office of Multicultural Affairs advises minority students regarding academic, social, personal, and financial concerns. The office also assists minority student organizations with program planning and management.



## Chapter 6 - Research and Service

---

### Contents

---

#### Research and Service

- **Vice Provost for Research**
  - **Research Administration**
  - **Patents and Copyrights**
  - **Safeguarding Research in Progress**
  - **Regulatory Issues**
  - **Service - Consulting**
  - **Centers of Excellence**
  - **Appropriate Use of Information Technology Resources**
- 

#### Research and Service

---

**Vice President for Research** The Vice **President** for Research has overall responsibility for fostering and expanding opportunities for research and enhancing the University's scholarly environment and competitiveness. The office also provides leadership for multi-institutional and interdisciplinary research.

**Research Administration** The Office of Research Support Services, a major division within the Vice **President** for Research area, assists faculty and staff in locating sources of external support for research and other projects; in obtaining application materials; in preparing proposals for submission; and in developing, reviewing, and negotiating appropriate award mechanisms with external agencies. The staff provides assistance in budget preparation, interpretation of sponsor guidelines, forms completion, and other proposal submission tasks.

External funding is available from federal, state, and local governments, and from commercial and non-profit organizations



in the form of grants, contracts, and other agreements. Funding opportunity information is available at the Research Support Services website: <http://academics.memphis.edu/researchsupport/> and includes access to *Community of Science*, a multidisciplinary funding and expertise database. Access to the University of Tennessee Funding Opportunities System, which lists over 12,000 funding opportunities and is updated daily, is available through this office. *Research Alert*, a monthly newsletter published by the office, lists sponsored research opportunities with their deadlines and provides additional information of interest to researchers and can be accessed through their homepage.

The Office of Grants and Contracts Accounting, which is within the Division of Business and Finance, is generally responsible for post-award administration, including budget preparation, financial reporting and billing requirements, and records maintenance for auditing purposes.

## **Patents and Copyrights**

The University's policy on patents and copyrights is applicable to all faculty, administrators, staff, students, and other individuals employed by or enrolled in the University. It is the responsibility of these individuals to acquaint themselves with this policy, details of which may be found in Policy UM1607-Intellectual Property. The implementation of this policy is a charge of the standing committee on patents, copyrights, and licensing. The University has a right to claim ownership of intellectual property that has been generated through the use of a significant amount of University resources or in the course of an employee's assigned duties, while recognizing the rights of authors and inventors to share in any revenue derived from their work. According to the policy on patents and copyrights,

- Employees of the University are required to disclose to the patents, copyrights, and licensing committee any invention or new technology arising from their work at the University of Memphis. The University will either waive claim to the invention or recommend steps for the University to exploit the income-generating potential of the new technology. The individuals producing the technology will share in the benefits according to the policies and procedures cited above.
- In general, the University observes the traditional custom that all rights of copyright ownership are vested with faculty members as authors. If copyrightable work is prepared as a result of an assignment for which released time is allocated by

the University, or by significant use of University staff, equipment, facilities, and resources, the work will belong to the University, including all rights of copyright, unless released by the University. Proceeds are to be used in such a manner as to produce the maximum benefit to the public and to the University. Individuals producing copyrighted material will share in the benefits according to the policies and procedures cited above.

- Patents or copyrightable materials developed from any sponsored research or programs are subject to the terms of the contract and related University policies. Further information can be obtained from the vice provost for research.

### **Safeguarding Research in Progress**

Research conducted by faculty members using the academic mainframe is protected via weekly backups; however, it is the responsibility of the individual faculty member to take the necessary steps to protect research in progress.

### **Regulatory Issues**

Federal and state regulatory agencies, granting agencies, and other funding sources promulgate regulations, standards, and related requirements that have the potential to impact laboratory research activities. Some of the standing committees at the University that oversee compliance of many of these requirements include:

- Institutional Review Board
- Institutional Animal Care and Use Committee
- Chemical Hygiene Committee
- Biological Safety Committee
- Radiation Safety Committee

Consultative services to assist researchers in meeting their regulatory obligations are offered by the Environmental Health and Safety Office: [ehs.memphis.edu](http://ehs.memphis.edu)

### **Institutional Review Board and Human Subjects Research** <http://irb.memphis.edu/>

All University of Memphis faculty, staff, or students who propose to engage in any research activity involving the use of human subjects must have prior approval from the Institutional Review Board (IRB). The IRB is responsible for safeguarding the rights and welfare of all persons participating in research projects, whether funded or non-funded. *Human subject* means a

living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information. *Research* means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. For further information, contact the IRB coordinator in the Office of Research Support Services. See also <http://irb.memphis.edu>

### **Vertebrate Animals**

All uses of vertebrate animals must receive prior approval from the Institutional Animal Care and Use Committee (IACUC). See also <http://www.memphis.edu/researchsupport/compliance.php>.

### **Chemical Hazards**

The laboratory use of hazardous chemicals is regulated by the OSHA Laboratory Standard (29 CFR 1910.1450). Compliance entails training, development of Standard Operating Procedures, and implementation of a chemical hygiene program. Training assistance in the form of a laboratory safety seminar, video lending library, and self-paced CD-ROM classes are available from the Office of Environmental Health and Safety. The University Laboratory Chemical Hygiene Program can be downloaded from [http://www.memphis.edu/ehs/chemical\\_safety.php](http://www.memphis.edu/ehs/chemical_safety.php)

Primary responsibility for maintain a safe research environment lies with the principal investigator. Periodic laboratory safety assessments are invaluable tools in identifying safety strengths and weaknesses.

An up-to-date inventory of chemicals found in each laboratory must be maintained as required by the University Occupational Safety and Health Program (UM1293) at <http://policies.memphis.edu/UM1293.htm>.

### **Human Blood, Tissues, Body Fluids, Cell Lines**

All research utilizing human blood, body fluids, tissues, cell lines, and other potentially infectious materials must comply with the OSHA Blood borne Pathogens Standard (29CFR 1910.1030). This standard requires a laboratory-specific Exposure Control Plan, offering of hepatitis B vaccinations, and

annual training. Blood borne pathogens training is available from Environmental Health and Safety. A model exposure control plan that can be customized to individual work areas is available from Environmental Health and Safety at <http://ehs.memphis.edu/>

### **Biological Agents, Stocks, and Cultures**

The University's Biological Safety Program (<http://ehs.memphis.edu/>) serves as policy for the possession, storage, and use of biological agents. This program is designed around CDC/NIH guidelines and is considered to be a minimum standard of care.

### **Recombinant DNA Molecules**

*All research conducted at or sponsored by the University, irrespective of the source of funding, shall adhere to the recombinant DNA guidelines set forth by the most recent National Institutes of Health (NIH) *Guidelines for Research Involving Recombinant DNA Molecules*.*

All recombinant DNA protocols must be submitted to Environmental Health and Safety using the registration form for recombinant DNA research. Those protocols requiring committee approval will be forwarded to the University Biosafety Committee.

### **Radioisotopes**

The University's Radiation Safety Committee governs the possession and use of radioactive materials and other sources of ionizing radiation within the University. Research personnel using radioactive materials are expected to be familiar with and operate within the policies and procedures outlined in the University Radiation Safety Program found at [http://www.memphis.edu/ehs/rad\\_safety.php](http://www.memphis.edu/ehs/rad_safety.php)

Individual departments are responsible for maintaining the departments' radioactive materials licenses and for ensuring compliance with applicable rules and regulations. Responsible users bear primary responsibility for the proper use and storage of radioactive materials and radiation-producing devices within their areas, including the execution of area surveys and recordkeeping requirements.

Environmental Health and Safety provides personnel dosimetry services and offers a radiation safety training program leading to certification as an authorized user. Dosimetry services can be initiated by contacting the Radiation Safety Officer.

### **Lasers**

Research personnel who may be exposed to class 2, class 3, and/or class 4 laser radiation are expected to familiarize themselves with and follow the requirements of ANSI Z136.6-2000 (*Safe Use of Lasers*). A laser safety checklist is available at <http://www.memphis.edu/ehs/pdfs/lasersafetychklist.pdf> and can assist laboratories in meeting the requirements of this standard.

### **Hazardous Waste, Biological Waste, and Radioactive Waste**

Each department is fully responsible for ensuring proper management and disposal of its chemical, biological, and radioactive waste streams. Individual researchers are responsible for complying with applicable waste disposal laws/regulations and with University policy.

Chemical waste disposal requirements are outlined in the Guide to Hazardous Waste Management (<http://www.memphis.edu/ehs/hazwaste.php>).

Biological waste disposal assistance is available from Environmental Health and Safety for departments that generate small volumes of biological waste. Larger bio-waste generators must arrange for disposal through the University's medical waste contractor.

The University's radioactive waste disposal requirements can be found in the Radiation Safety Program at [http://www.memphis.edu/ehs/rad\\_safety.php](http://www.memphis.edu/ehs/rad_safety.php).

Mixed wastes (radioactive waste combined with hazardous and/or infectious waste) are especially difficult to dispose of; therefore, every effort should be made to avoid creation of mixed wastes. Personnel who consider implementation of protocols that generate mixed wastes should contact Environmental Health and Safety prior to beginning such programs.

### **Shipping and Receiving Hazardous Materials**

All University personnel who ship or otherwise impact the transportation of hazardous materials, including hazardous chemicals, biological agents, and radiological materials, must be trained and certified prior to engaging in such activities. University policy regarding the shipment of hazardous materials can be found at <http://policies.memphis.edu/UM1296.htm>.

### **Select Agents and Toxins**

Federal anti-terrorism laws and regulations restrict possession, use, and transfer of biological agents and toxins of high consequence. Penalties of up to five (5) years imprisonment and/or \$500,000 in fines may be levied on individuals and organizations found to be in violation.

All researchers anticipating the procurement, possession, use, transfer or destruction of select agents must contact Environmental Health and Safety prior to the event to ensure that applicable regulations are followed. A complete list of CDC select agents can be found at <http://www.selectagents.gov/>

### **Laboratory Decommissioning**

Any laboratory or other area where chemical, biological, or radiological materials have been used or stored must be decommissioned prior to closing. Typically, decommissioning occurs prior to a researcher leaving the University, relocating to another laboratory space, renovation of a laboratory, or retirement of research pursuits. Environmental Health and Safety should be contacted for guidance.

### **Service - Consulting**

Recognizing that the professional qualifications of faculty have great value in areas beyond normal University assignments and that services (to students, colleagues, and citizens of the surrounding areas) are enhanced by participation in activities beyond the campus, the University of Memphis encourages its faculty to undertake consulting and similar external employment for which they are qualified and that does not interfere with University responsibilities. Professional experiences beyond the classroom can contribute to the quality of instruction, increase professional competence and reputation, and bring credit to the University. By providing valuable services to a varied constituency, both public and private, faculty can help to create

important links between the University and the area it serves. Although these services are encouraged within regulatory limits, it is not proper for a University employee to provide private consulting services to external organizations when those services might be in conflict or competition with services offered by the University itself.

To comply with guidelines approved by the Tennessee Board of Regents, The University of Memphis has formulated a policy (UofM Policy No. 1490) that provides both encouragement and supervision for those engaged in outside employment. This policy does **not apply to:**

- normal, short-term professional activities such as participation in symposia, accreditation visits, speaking engagements, exhibitions or recitals, even though honoraria may be received for such participation; or
- activities carried on outside the contract period term or while on leave from the University.

The term *outside employment* includes consulting and any other external activity for which there is remuneration. Prior to undertaking any outside employment, faculty will notify their department chair of the nature of the employment and the expected commitment of time. The chair will determine whether the proposed employment is consistent with the University of Memphis policies and the Tennessee Board of Regents as outlined below. If the decision is that the employment is inconsistent with these policies, a faculty member may appeal through the normal institutional channels for handling grievances.

- Before faculty members begin outside employment they must obtain the written approval of the department chair and dean on a form (see attachment to UofM Policy No. 1490) that states the nature of the employment and the time required. If the chair does not approve the proposed employment, the faculty member may seek approval from the dean of the college. Further appeal may be made as outlined in the grievance procedures.
- When seeking approval, faculty members should submit separate forms for each type of service requiring a major commitment of time. A similar service rendered to several clients may be shown on a single form if each client requires only a minor commitment of time, as in many instances of professional consulting, private lessons, tax preparation, etc.
- University property and facilities (e.g., offices, equipment, telephones, computer services, etc.) may not be used in outside

employment unless the use has been approved. If such arrangements are approved, compensation to the University may be required at rates established by the University. University titles, offices, addresses, and telephone numbers may not be used in city directories for the purpose of publicizing non-University interests.

- The University cannot assume any responsibility for private consulting services entered into by members of its faculty or staff. Consultants must make clear to any employer the fact that the work to be performed has no official connection with the University.
- Outside employment that involves other agencies of state government (including institutions of higher education) is subject to prior approval by both the president of the university, or a designee, and the appropriate representative of the other agency (see UofM Procedure No. UM 1490). In these cases, the two institutions will execute a dual services agreement.
- Outside employment must not result in any conflict of interest and must not interfere with any University teaching, research, or service assignments. If outside employment conflicts with a faculty member's teaching schedule, specific arrangements for the classes must be approved by the department chair. Teaching, research, or service assignments should not be made principally for the convenience of faculty (or staff) members wishing to engage in outside employment.
- Administrative officers, including department chairs, may not employ (through outside consulting or business activities) or be employed by a faculty or staff member over whom they have direct supervision. Exceptions must be approved by the president or the administrative officer's immediate superior.

## **Centers of Excellence**

The University of Memphis has been designated by the Tennessee Higher Education Commission as the location for centers of excellence in a number of areas. These units receive special funding by the State in recognition of their status.

### *Centers of Excellence*

Center for Applied Psychological Research

Center for Earthquake Research and Information

Center for Research in Educational Policy

Center for Research Initiatives and Strategies for the



Communicatively Impaired

Center of Excellence in Egyptian Art and Archaeology

**Appropriate Use of  
Information Technology  
Resources**

For more information concerning appropriate use of the University's technological resources, please see University policy #UM1535 at <http://policies.memphis.edu/UM1535.htm>.

## Chapter 7 - Professional Development and Awards

---

### Contents

---

#### Professional Development

- [Professional Development](#)
  - [Faculty Awards Programs](#)
- 

#### Professional Development

---

#### Professional Development

#### Professional Development Assignments

Professional Development Assignments are awards made available through private funding sources and allow faculty members opportunities to develop proficiencies as teachers, scholars, and researchers. The period of an award may be for one semester, at full pay, or for one academic year at half pay. Faculty members who are interested in obtaining such an assignment should submit details of their plans to their dean in the fall semester of the year preceding the anticipated leave. Professional Development Assignments approved by the University may be credited toward completion of the probationary period. For more information, see <http://policies.memphis.edu/UM1288.htm>

#### Graduate Study

Faculty members may take graduate courses and pursue graduate degrees at the University of Memphis provided (1) they have no voting status in the department in which they enroll, and (2) their enrollment does not constitute a potential conflict of interest. Applications from faculty and staff members seeking admission to graduate degree programs must be reviewed in advance by the Council for Graduate Studies of the college in which the degrees are offered. The purpose of the review is to determine if the proposed programs of study might result in conflicts of interest.

Decisions relating to eligibility for graduate study made by college councils may be appealed to the University Council for Graduate Studies and Research. Contact the departmental coordinator of graduate studies for more information. Faculty may take graduate courses as non-degree students by completing an application form available from the Graduate School.

### **Grants**

A limited number of Faculty Research Grants from University resources are available to faculty members interested in conducting research. Full information may be obtained from the Vice **President** for Research. Guidelines and the application form are available on-line at the Research Support Services website: <http://researchsupport.memphis.edu>.

### **Academic Enrichment Program**

In addition to the funds specifically allocated to departments, divisions, and colleges for their traditional academic programs, the University maintains a special fund to support activities recommended and designed by faculty, staff, and students as complements to usual offerings. Some are departmental in scope, some college-wide, and others involve the entire community. Artists-in-residence, distinguished lecture series, conferences, and symposia are examples of programs supported with these funds. The planning and coordination of requests for support originate with the college deans, to whom inquiries and suggestions should be directed.

### **Center for Teaching and**

**Learning** <http://memphis.edu/umtech/ctl/index.php>

The Center for Teaching & Learning (CTL) provides instructional technologies' training in support the of University's mission of student success. CTL empowers the University's community through individual consultations, group/department trainings, hosting emerging technology workshops, collaborating on technology issues and researching new and evaluating existing technologies with other campus members. Our focus is to guide the community to success and understand how technology is an integral part of that success.

## **Travel**

The University provides funds to help meet the expenses of travel to professional meetings that are relative to the subject area in which a faculty member is teaching. Travel decisions are made within each department. To obtain financial support, a faculty member must submit a request to the Accounting Office through the department chair approximately two weeks in advance of the planned travel. If funds are available, the Accounting Office will approve the request and return the authorization form to the faculty member. Until this form has been received, University-supported travel will not be authorized. An advance payment may be requested. For more information, see also Policy UM1309. To obtain a copy of the form, please access this website <http://bf.memphis.edu/forms/trav/trav01.htm>

## **International Travel**

Authorization for University-supported travel to Alaska, Hawaii, and out of the country is subject to recommendation by the president. Authorizations are routed to the president by the departmental chair, dean, and provost. For more information, please see <http://policies.memphis.edu/UM1309.htm>

## **Faculty Awards Programs**

### **Board of Visitors' Eminent Faculty Award**

The Eminent Faculty Award is given annually to a faculty member who has made outstanding and sustained contributions to scholarly-creative activity, teaching, and service, bringing honor and recognition to the University of Memphis. To be eligible, the faculty member must be currently active and continuously employed by the University for at least five years; the award can only be made once to an individual. The award is given by the University of Memphis Board of Visitors and includes a \$20,000 cash prize and a commemorative crystal. The University committee, composed of nine faculty members, screens nominees to identify three finalists from whom the Board of Visitors makes the final selection. The Eminent Faculty Award is presented at the Spring Faculty Convocation.

### **Distinguished Teaching**

**Award** <http://www.memphis.edu/provost/distteachaward.php>

Each year, four members of the University faculty are presented Distinguished Teaching Awards in recognition of the high quality

of their teaching. The selection procedure prescribes that students, faculty, and alumni be given the opportunity to nominate faculty members who meet the following eligibility requirements:

- The faculty member must have been employed full-time at the University of Memphis for three or more years.
- The faculty member must be teaching a minimum of nine semester hours with either (1) six undergraduate hours with a total of thirty or more students in two classes; or (2) six graduate hours with a total of fifteen or more students in two classes. (The enrollment requirements may be met by including all courses being taught by the faculty member during that term.)
- Former award winners may not be re-nominated within seven years of the first award and may not receive the award more than twice.
- At least two of the four awards must go to faculty members whose work is predominately undergraduate.

Nominations are screened by the Distinguished Teaching Awards Committee. The twenty faculty members receiving the largest number of nominations are notified and if they desire to participate, they are evaluated by their students and department chair. This information is compiled and reviewed by the committee, which then makes the final selections. Selected faculty receive a \$2000 honorarium and a plaque at the annual Spring Faculty Convocation.

**Thomas W. Briggs Foundation Excellence in Teaching Award** <http://www.memphis.edu/provost/briggs.php>

The Briggs award was established in 1996 to recognize teaching excellence at the undergraduate level and an overall commitment to undergraduate education. Two awards of \$5000 each are presented annually at the Spring Faculty Convocation. Nomination forms are available by contacting the Development Office.

**Alumni Association Awards for Distinguished Research And Creative Achievement**

The Alumni Association may make five awards annually for distinguished research faculty who have brought honor and recognition to the University. The categories include:

- Distinguished Achievement in the Creative Arts

- Distinguished Research in the Humanities
- Distinguished Research in the Social Sciences
- Distinguished Research Science, Engineering, and Mathematics
- Distinguished Research in Engaged Scholarship

Candidates may apply for the award or be nominated by any full-time faculty or staff member.

- Candidates must have been employed full-time by The University of Memphis for five academic years prior to the semester of their application or nomination.
- Former award winners may not be re-nominated within seven years of the first awards and may not receive the award more than twice.

Nominations are submitted to the appropriate college council for graduate studies and research (or, in the case of the School of Audiology and Speech-Language Pathology, the School of Law, and the School of Nursing, to the dean of the school). Those wishing to be considered must submit a resume with a complete list of publications (copies of the publications are not required), a narrative summary of research aims and achievements, and at least three external letters from distinguished referees. College councils and deans will evaluate the nominations and submit recommendations to the vice provost for research, who will appoint a committee to make the final selection. Each recipient receives a \$2000 honorarium and a plaque at the annual Faculty Convocation. Further information is available from the vice provost for research.

### **Alumni Association Awards for Distinguished Advising**

Each year, the Alumni Association may award Distinguished Advising Awards to one member of the faculty and to one professional advisor. Eligible faculty include those who are tenured with at least five years of service at the University of Memphis (i.e., are at least in their sixth year at time of receiving the award). Eligible professional advisors include those who have completed five years at the University of Memphis. (i.e., are at least in their sixth year at time of receiving the award).

An advisor may receive the award twice. For eligibility the second time, at least three complete years must have passed since the first Award was received (e.g., if the nominee first received the Award in Spring 2002, s/he would not be eligible for a second

Award until Spring 2006).

Nominations will be solicited through the media (e.g., posters, The Helmsman, email, etc.). Faculty must receive nominations from faculty/administrators and students/former students/alumni/alumnae. Professional advisors must receive nominations from faculty/administrators and students/former students/alumni/alumnae

The Award is accompanied by a stipend equal to that given for the University's Distinguished Teaching Award. If sufficient funds are not available to make two awards in any given year, one award may be given annually. In that case, the awards will alternate from year-to-year between professional and faculty advisors.

The Award(s) is given at the Spring Faculty Convocation.

## Chapter 8 - Salary, Leave, and Economic Benefits

---

### Contents

---

#### Salary/Leave

- [Salaries](#)
- [Extra Compensation](#)
- [Research Compensation](#)
- [Educational Benefits](#)
- [Emeritus Status](#)
- [Summer Session Compensation](#)
- [Insurance](#)
- [Leaves without Pay](#)
- [Sick Leave](#)
- [Sick Leave Bank](#)
- [Family Medical Leave](#)
- [Leaves - Additional Information](#)
- [Retirement Plans](#)
- [Tax-Deferred Annuities](#)
- [Privileges for Retired Faculty](#)
- [Holidays](#)

---

#### Salary/Leave

---

#### **Salaries**

Faculty salary payments for the academic year are paid over a twelve (12) month period (September through August) and are deposited directly into the faculty member's bank account, normally on the last banking day of each month. Contact the Payroll Office for questions about the payment schedule and authorization or changes to direct deposit.

Compensation for part-time or adjunct faculty is evenly divided into three monthly payments. Salary payments are made on the last banking day of the month. For the fall semester, payments are made on the last banking days of October, November, and December. For the spring semester, payments are made on the



last banking days of February, March, and April.

Salary for faculty who do not complete a full academic year or full semester, or who begin employment late in the semester, is prorated as follows:

a. Faculty who complete one full semester will earn one-half of their academic year salary.

b. When an appointment begins or ends on a date other than the beginning or end of a semester, the compensation for that part of a semester will be calculated as follows:

(1) Compensation will be based on the actual number of faculty workdays in the semester. These dates are established by the Provost's Office.

(2) The period between fall commencement and spring registration, approved holidays, the fall break, and the spring break are excluded when calculating the number of workdays in each semester.

Payments for the summer session, longevity payments, and extra compensation are included in the month-end paycheck.

University faculty may authorize payroll deductions for approved charitable organizations. The United Way of the Mid-South is one of the charitable organizations approved to solicit funds on campus. Forms are made available during the annual giving campaign, usually in October. Optional payroll deductions include various insurance and retirement plans, parking fees, savings bonds, Wellness Program, Campus Recreation Center, First South Federal Credit Union, Memphis Area Teachers' Credit Union, and the University of Memphis Foundation.

**Extra  
Compensation**

Faculty are encouraged and expected to be involved in public service and continuing education activities offered by the University; normally these activities would be part of regular assignments. At times, however, extra compensation may be received for credit or noncredit teaching, participation in applied research, consulting, preparation of educational materials, and similar activities. See UM Policy 1490 - <http://policies.memphis.edu/UM1490.htm>.

These services must be performed *in addition to* the faculty member's full workload and *entirely outside the scheduled work hours* or while on holiday or annual leave, if applicable. These additional duties must not interfere with the performance of regularly assigned responsibilities and duties.

The University of Memphis reserves the right to withhold payment for work performed when the employee fails to comply with the Extra Compensation procedure. When services are rendered by a TBR employee to another state agency, The University of Tennessee, or another TBR institution of higher education (Dual Services), extra compensation will be paid by the contracting agency to the institution pursuant to TBR Guideline G-030.

Extra compensation earnings are subject to the following limits.

- Course Limits: Full-time faculty may not receive extra compensation for more than two credit courses per semester (T.C.A. 49-5-410).
- Refer to U of M Policy 1490 for rules regarding the calculation of rates per credit hour.

It is faculty members' responsibility to ensure that they do not exceed any limits established by the Tennessee Board of Regents, as excess earnings are due to the University. A letter of indebtedness will be issued by Human Resources for the purpose of recouping the funds.

## **Research Compensation Purpose**

The incentive pay plan seeks to reward faculty members with incentive pay up to 50% of the amount of salary recovered from external funding sources.

### **Incentive Pay Procedure**

Faculty seeking incentive pay must obtain external funding for their base salary, negotiate an agreement with their chair and dean, verify work performed by signing the semester's effort certification form, and initiate payment on the end of month payroll by completing an incentive pay request form.

### **External Funding Proposal**

For faculty to be eligible for incentive compensation, the external sponsor must provide funding for their base salary, all associated benefits, and the maximum Facilities and Administration (F&A also known as indirect costs) rate allowed by the sponsor's formal policy. The Vice **President** for Research has final authority over whether or not the external funding meets these criteria.

In order to comply with federal cost principles in Office of Management and Budget Circular A-21, it is important that the cost to the external sponsor remain unchanged as a result of the incentive pay plan. In general, federal grants do not allow extra compensation to be charged directly to a federal grant. However, a percentage of the faculty member's base salary, commensurate with his/her level of effort, may be charged to the grant. Federal cost principles allow charging a percentage of base salary commensurate with the faculty's level of effort on the federal grant.

Situations may arise where the external funding entity may pay extra compensation and/or incentive compensation. However, this is appropriate only if more work is performed. Faculty receiving release time to work on the externally funded project should not receive extra compensation.

### **Faculty Incentive Pay Plan Agreement**

The purpose of this agreement is to create an understanding between faculty, chairs, and deans regarding the disposition of base salary budget recovered from external funding sources. For detailed information about the Research Incentive program, go to [http://www.memphis.edu/provost/research\\_incentive\\_compensation.php](http://www.memphis.edu/provost/research_incentive_compensation.php)

### **Payment**

The deadline is the 5th of the month for payment on at the end of the month. The form with attachments will be reviewed and approved by the Vice **President** for Research (or designee) prior to submitting to the payroll office by the 5th of the month for payment at the end of the month.

Payment of incentive compensation to faculty who have resigned must be approved by the Vice Provost for Research and the Provost. A justification memo should be prepared and routed through the chair and dean for their recommendations and comments.

### **Retirement Benefits**

Retirement benefits only accrue on the first 25% of additional compensation. Incentive compensation (or a combination of incentive and extra compensation) in excess of 25% will not be reported as retirement wages.

### **SAMPLE FORM**

<p>A. Department Share of Recovery per Semester (Off-The-Top)</p> <p>The off-the-top department share must be adequate to cover the costs incurred by the department.</p> <ol style="list-style-type: none"> <li>1. Faculty Replacement Costs (Temporary Instruction)</li> <li>2. Other Departmental Needs</li> </ol>	<p>\$ _____</p> <p>\$ _____</p>
<p>B. Faculty Incentive Percentage of Recovery (50% max)</p>	<p>%</p>
<p>Comments (such as course load or other assigned activities):</p>	

This agreement will be negotiated between faculty and chair/dean every one to three years and must be signed by all three parties.

**Educational Benefits** The PC191 program allows faculty members to take one course per semester at no charge. For more information, see <http://bf.memphis.edu/hr/benefits/scholarship.php>

The spouse and dependent children of faculty are entitled to a 50% fee discount for undergraduate courses at The University of Memphis or other Tennessee Board of Regents schools or the University of Tennessee. Dependent children are eligible for this program through age 26. See Policy UM1578 <http://policies.memphis.edu/UM1578.htm>. A request for Student Fee Discount form should be submitted to the Department of Human Resources each semester the family member enrolls.

Faculty members may take graduate courses and pursue graduate degrees at the University of Memphis provided (1) they have no voting status in the department in which they enroll, and (2) their enrollment does not constitute a potential conflict of interest. Applications from faculty and staff members seeking admission to graduate degree programs must be reviewed in advance by the Council for Graduate Studies of the college in which the degrees are offered. The purpose of the review is to determine if the proposed programs of study might result in conflicts of interest. Decisions relating to eligibility for graduate study made by college councils may be appealed to the University Council for Graduate Studies and

Research. Contact the departmental coordinator of graduate studies for more information. Faculty may take a graduate course as non-degree students by completing an application form available from the Graduate School.

### **Emeritus Status**

The honorary title of *professor emeritus* may be awarded by the president to faculty members who retire with the rank of instructor, assistant professor, associate professor or professor, who have completed ten years of service to the University, and who are recommended by the chair or a faculty member (s) within the department. Recommendations for emeritus status should be based upon records of teaching excellence, substantive scholarship and meaningful service.

The Departments may, if available, provide office space and other support services at their discretion.

**Summer Session Compensation** Summer session assignments are separate from academic-year appointments and compensation is based on the prior academic-year salary. To determine summer session compensation, first multiply the prior academic-year salary by .03125, then take that result and multiply it by the total summer credit hours taught. Summer session compensation may not exceed 25% of the preceding academic-year salary nor may faculty teach more than eight (8) hours during the summer. Summer employment is by invitation and contingent on instructional needs of the department and the University. Faculty should be aware that summer session classes will be cancelled unless they meet minimum enrollment standards established by the University. Any summer earnings in excess of the 25% limit will be recouped from future earnings. See UofM Procedure 1493 - <http://policies.memphis.edu/UM1493.htm>.

### **Insurance**

Full-time faculty members are eligible, though not required, to participate in the State of Tennessee Group Insurance Program.

Applications and detailed information concerning insurance coverage are available in the Department of Human Resources or

at <http://bf.memphis.edu/hr/benefits/>.

### Leaves without Pay

Faculty may apply for leave without pay for a period not to exceed one year. Requests should be addressed to the department chair, and then forwarded to the dean, provost, and finally to the president for approval. Requests for leaves exceeding one year must be approved by the chancellor. Leaves without pay are not counted in fulfillment of the probation period for tenure. Non-tenured faculty members generally will not be recommended for a leave of absence. See also Policy UM1572 - <http://bf.memphis.edu/hr/benefits/fmlafaqs.php>.

### Sick Leave

Full-time faculty members earn sick leave at the rate of 7.5 hours per month for the nine month academic year. In the case of illness, all accrued sick leave hours must be used before a leave of absence without pay will be considered. Sick leave usage should be reported to the department timekeeper at the end of the month in which it is taken.

Full-time faculty accrue 67.5 hours (9 days) of sick leave for full-time employment for a full academic year and up to 22.5 hours (3 days) of sick leave for full-time employment throughout summer sessions. The calculation below shows how a full-time faculty member would accrue sick leave hours for a period of employment during the summer. See <http://policies.memphis.edu/UM1544.htm>

Example:

- |  |          |
|--|----------|
| a. Base pay for the previous Academic Year           | \$50,000 |
| b. Maximum summer earning equals 25% of Line (a)     | 12,500   |
| c. Actual earnings for the current summer            | 9,850    |
| d. Maximum hours that may be accrued for summer sick |          |

leave 22.5 hours

Calculation: Line (c) divided by Line (b) = 78.8% X Line (d) = 17.7 hours summer sick leave accrual.

NOTE: Twenty-five percent (25%) of base academic-year pay is considered to be full-time for summer.

### **Sick Leave Bank**

The Faculty Sick Leave Bank is available to faculty who elect to become members. It allows each faculty member the opportunity to draw upon it should their own leave balance be exhausted. Sick bank time applies to a faculty member's own serious illness. Membership is obtained by donating three days of sick leave (22.5 hours) into the bank. These days are completely forfeited and cannot be returned during the faculty member's service or at retirement. A committee appointed by the president establishes policies and procedures for the bank under the regulations of the Tennessee Board of Regents. For additional information, contact the Department of Human Resources. See also University policy #1609 (<http://policies.memphis.edu/UM1609.htm>).

### **Family Medical Leave**

Faculty are eligible for up to twelve weeks of unpaid leave during a twelve month period for specified family and medical reasons provided they have worked for the State of Tennessee for at least twelve months and at least 1,250 hours during the preceding year. Family and medical leave (FMLA) may be requested for the birth or adoption of a child, or for the serious illness of self, spouse, child, or parent. Available sick leave will be paid monthly, to the extent the faculty member's leave balance is sufficient, and this paid leave will be charged during the period of FMLA absence. If the faculty member's sick leave balance is inadequate to extend through a maximum of twelve weeks FMLA, the remaining FMLA leave will be unpaid if that additional time off is necessary. Please see University policy #1572 (<http://policies.memphis.edu/UM1572.htm>).

### **Leaves - Additional Information**

Further information on these and other kinds of leave (military, court, emergency, maternity, paternity, etc.) may be found in Human Resources Policies and Procedures.

## **Retirement Plans**

Upon employment, all regular full-time employees are enrolled in a retirement system. The only exception is that non-U.S. citizens who are on an F-1 or J-1 visa are not eligible. Faculty members have a choice of joining either the Tennessee Consolidated Retirement System (TCRS) or an Optional Retirement Program (ORP).

The TCRS is a *defined benefit* plan and requires five years of service for a member to be vested (have ownership). Retirement benefits are based on the number of years of service, age, and salary. An ORP is a *defined contribution* plan with retirement benefits based on the contributions that go into the plan and the interest earned on that money. Vesting in the ORP is immediate. Information packets regarding the retirement plans are available in the Department of Human Resources or at <http://bf.memphis.edu/hr/benefits>.

## **Tax-Deferred Annuities**

The University of Memphis offers two long-term savings plans designed to supplement income after retirement.

- 403(b) - a tax-deferred annuity plan designed for educational nonprofit institutions
- 401(k) - a deferred compensation plan

Employees may contribute a specified amount to the plans through salary deduction. Amounts contributed do not affect other retirement plans. Contributions and earnings of the plans are not subject to federal income tax until funds are withdrawn. Generally, withdrawals are not permitted before age 59+ or retirement. Amounts contributed and early withdrawals are subject to IRS regulations and will be subject to a federal penalty. Contact the Department of Human Resources at (901) 678-3571 or <http://bf.memphis.edu/hr/benefits/> to obtain more information or enroll in these plans.

## **Privileges for Retired Faculty**

Information concerning privileges for retired faculty may be found at <http://bf.memphis.edu/hr/benefits/retpriv.php>



**Holidays**

Dates of official university holidays are announced annually and are available on the web at <http://bf.memphis.edu/hr/holidays.php>

## Chapter 9 - University Facilities and Benefits

---

### Contents

---

#### Facilities/Benefits

- **Identification Cards**
- **Credit Union Membership**
- **University Information**
- **University Libraries**
- **Rape Crisis**
- **Campus Recreation and Intramural Services**
- **Information Technology**
- **Bookstore**
- **Bursar's Office**
- **Business Processes**
- **Tiger Copy and Graphics**
- **Campus Environment**
- **Campus News**
- **Safety**
- **Smoking**
- **Design Services**
- **Telecommunications Services**
- **University Center**
- **Extended Programs**
- **Dining Services**
- **Health Services**
- **Lost and Found**
- **Mail Services**
- **Police Services**
- **Tickets**
- **University-Owned Vehicles**
- **Parking Services**

---

#### Facilities/Benefits

---

<b>Identification Cards</b>	The University's policy #UM1623 concerning identification cards is contained at <a href="http://policies.memphis.edu/UM1623.htm">http://policies.memphis.edu/UM1623.htm</a> .
<b>Credit Union Membership</b>	Faculty members at the University of Memphis are eligible for membership in the First South Credit Union and the Memphis Area Teachers' Credit Union. Payroll deduction may be arranged for deposits and loan payments.
<b>University Information</b>	Routine information about the University, including academic catalogs and University policies and procedures, is available at the University web page at <a href="http://www.memphis.edu">www.memphis.edu</a> . In addition, the <b>Office of Institutional Research</b> provides information to academic and administrative units in support of policy formation, planning, and decision-making. Institutional Research serves as the centralized electronic repository of archived information on students, faculty, and staff. It identifies trends that will affect resource commitments in the future and reports to the Tennessee Board of Regents and other agencies that monitor the activities and assets of the University. Institutional Research produces decision-support programming and analysis for University and departmental purposes. For more information, see <a href="http://oir.memphis.edu/">http://oir.memphis.edu/</a> .
<b>University Libraries</b>	Information concerning the University Libraries is contained at <a href="http://www.memphis.edu/libraries">http://www.memphis.edu/libraries</a>
<b>Rape Crisis</b>	Rape, assault, or attempts at either, must be reported immediately to the Department of Police Services: 678-4357; or <a href="http://www.memphis.edu/police/">http://www.memphis.edu/police/</a> .
<b>Campus Recreation and Intramural Services</b>	Campus Recreation and Intramural Services (CRIS) administers the Student Recreation and Fitness Center, located on Spottswood and Echles streets, for the benefit of students, faculty and staff, alumni, and University friends. Recreational activities include basketball, volleyball, swimming, tennis, racquetball, handball, table tennis, badminton, soccer, and softball. Fitness areas include free weights and cardio machines such as stair steppers, treadmills, and bicycles. Locker rooms are provided for

personal use and storage.

Yearly memberships for faculty, staff, and their families are available at the Center during Recreation hours. Same-day entry tickets and guest tickets may also be purchased at the Recreation Center. For operation hours, see <http://www.memphis.edu/cris/>

### **Information Technology**

The Division of Information Technology provides campus-wide support in academic and administrative computing, networking, and telecommunications. The division supports education and training for standardized applications, maintains the campus information technology infrastructure, the security and integrity of databases, and leads the strategic planning process for information technology at the institution.

More information about services provided by the Division is contained at <http://itd.memphis.edu>.

### **Bookstore**

The University Bookstore, located on the first floor of the Rawlins Service Court, stocks and sells all books and supplies required or recommended for class use. In addition, it offers a large stock of paperbacks, children's books, magazines, greeting cards, gift items, and imprinted clothing. A special-order service is available for every book in print. Faculty and staff receive a 10% discount on all merchandise (textbooks 5%), upon presentation of a current identification card to the cashier prior to purchase. For more information, please see <http://uofmemphis.bkstr.com/>.

### **Bursar's Office**

The bursar's office is responsible for the assessment and collection of student fees. It provides student fee information and general payment guidelines, collect University fees and charges, and disburse financial aid. For more information, please see <http://bf.memphis.edu/finance/bursar/>.

### **Business Processes**

Please familiarize yourself with Business and Finance procedures found at <http://policies.memphis.edu> prior to committing funds or taking any action with third parties that would bind the university. University business processes are based on

requirements of State of Tennessee law and Tennessee Board of Regents Policies and Procedures which require that University funds, regardless of origin, must be expended in accordance with these policies and procedures. Any questions regarding the various procedures listed should be directed to the indicated department prior to making any outside commitments.

### **Tiger Copy and Graphics**

Tiger Copy and Graphics offers a full range of printing services from digital quick copy to off-set printing in both color and black and white. Other services provided include desktop publishing, finishing and binding, folding, tabbing, labeling, and bulk mail addressing. University business cards and stationary are ordered through Tiger Copy and Graphics. All services are available for use by any student or department. For more information, refer to <http://bf.memphis.edu/tigercopy/>

### **Campus Environment**

#### **Physical Plant**

The Department of Physical Plant is responsible for University construction contracts, major construction, construction inspection and room modifications. The department also provides custodial service; maintains the campus landscape; and offers full service for air conditioning, heating, plumbing, electricity, electronics, carpentry, and painting. Routine requests for service should be submitted online using the WORQ System, <http://bf.memphis.edu/pp/worq.php>. Emergency requests should be made to the Physical Plant office, x2699/2075 or to Police Services.

#### **Air Conditioning and Heating**

Faculty and staff members who experience any discomfort because of the heating or air conditioning are urged to contact the Physical Plant Facilities Operations office rather than trying to correct the situation themselves by adjusting thermostats, opening windows, or turning off units. Adjustments in one room affect all rooms in the zoned area; trying to make one room comfortable by such adjustments may make several others uncomfortable. Please see web address and telephone numbers above.

## Special HVAC Needs

Heating or cooling is provided in season for spaces scheduled for use. Scheduled use is determined by the class and program schedule for a given building. If special meetings are planned for use of auditoriums, seminar rooms, etc., those should be scheduled in the university's enterprise-wide scheduling system.

## Energy Conservation

The University solicits the assistance of all faculty and staff members in support of its ongoing energy conservation program, a program that is designed to assure that energy is consumed in an efficient manner, but not to curtail planned educational activities. Faculty and staff are asked for assistance with energy conservation and the reduction of operating costs for the University.

## Campus News

The following are regular campus publications:

***Daily Helmsman.*** *The Helmsman*, the University's student-run newspaper. For more information about the Helmsman, please visit <http://www.dailyhelmsman.com/>.

***Update.*** *Update* is a monthly faculty and staff newsletter covering the achievements and activities of the University community. <http://www.memphis.edu/update/>

***This Week.*** *This Week* is a weekly electronic update of announcements, calendar of events, and faculty and staff birthdays. Email information to [thisweek@memphis.edu](mailto:thisweek@memphis.edu).

***University of Memphis Magazine.*** This is a monthly update of University activities that is directed toward alumni and supporters of the university. See <http://www.memphis.edu/magazine/>.

## Safety

Establishing and maintaining a safe and healthy teaching and learning environment are important concerns of all University faculty and staff members. Compliance with applicable safety rules, regulations, and occupational safety and health standards is expected. Additionally, department chairs and faculty members

are responsible for ensuring that students are aware of appropriate safety procedures and that unsafe conditions and practices are promptly corrected. Chairs are expected to ensure that their employees receive safety information, are trained appropriately, and are provided with personal protective equipment as required by regulations and University policies and procedures.

Environmental Health and Safety provides training, services, and consulting assistance related to hazardous chemicals, radioactive materials, and biological agents. For information and assistance, call 678-4672 or see the web page at <http://ehs.memphis.edu>. Employee Safety and Health offers training, services, and consulting assistance related to fire safety, ergonomics, accident investigation, and other general safety issues. For information and assistance, call 678-2257 or 678-4671.

**Smoking**

In the interest of health, safety, and campus maintenance smoking is prohibited in all areas not designated as smoking areas. See also UofM Policy No.1614 at <http://policies.memphis.edu/UM1614.htm>.

**Design Services**

When design services are required for modifications to university facilities, contact Campus Planning and Design at x 2302 or refer to <http://bf.memphis.edu/cpd/>.

**Telecommunications Services**

The University provides voice, data, and video communications, as well as cellular and facsimile services. For more information, please see University of Memphis policy No. 1394 at <http://policies.memphis.edu/UM1394.htm>. Also, please see the Office of Telecommunications Website at [http://itd.memphis.edu/depts/network\\_services](http://itd.memphis.edu/depts/network_services). To view a comprehensive list of information technology services, visit <http://www.memphis.edu/itd/itdservices/service-catalog.php>

**University Center**

The extensive facilities and varied activities of the University Center are provided for the use of the entire University community. The University Center also supervises the Rose Theater's 968 seat auditorium for students, University, and community use. For event planning and other activities and

offices associated with the University Center,  
visit <http://saweb.memphis.edu/uc/>

## **Dining Services**

On-campus dining service facilities are available for students, faculty, staff, and visitors. Catering and banquet services are available on a contract basis for University-sponsored events. The University has an exclusive contract for all catered events on campus. Exceptions to this contract to bring outside food on campus for an event must be made through the Office of the Vice President of Student Affairs.

A food service committee, made up of faculty, staff, and students, provides feedback to the University administration and food service contractor. For a complete list of Dining Services, visit <http://www.campusdish.com/en-US/CSS/UnivMemphis/>

## **Health Services**

### **Services Available**

Student Health Services is located in the Health Center Building on campus at the corner of University and DeSoto avenues. Except in emergencies, each visit to the center requires the presentation of an identification card. Information concerning health services, including charges, can be found at <http://saweb.memphis.edu/health/>

### **Emergencies**

In the event of injury or sudden emergent illness occurring in the classroom or on the campus, faculty or staff members present should evaluate the situation to the best of their ability and call Police Services at 678-4357 (HELP), giving the location of the patient and necessary details. The campus police will respond and make a decision whether to transport the patient to Student Health Services or to call for an ambulance. Emergencies that arise when Student Health Services is closed should be reported to Police Services at 678-4357. If conditions warrant, the patient may be sent to a hospital; the cost of the transportation and hospital care will be the patient's responsibility.



## **Insurance Papers**

Student Health Services staff members will not complete insurance papers for patients (Workmen's Compensation, Blue Cross/Blue Shield, etc.).

## **Parking for the Disabled**

Regulations and requirements allowing special parking for those persons with disabilities should be directed to Parking Services, 678-2212; or <http://bf.memphis.edu/parking/>

## **Lost and Found**

The central lost and found service of the university is housed in Police Services located in the Zach Curlin Garage. The Information Desk in the University Center includes a second lost and found repository.

## **Mail Services**

The University operates a US Post Office on the second floor of the University Center and Printing Services Building that offers the usual postal services. Window hours are 8:00 a.m. to 3:30 p.m., Monday through Friday. For more information, including Campus Mail procedures, refer to <http://bf.memphis.edu/mail/>.

## **Police Services**

The Director of Police Services is responsible for providing all police and law enforcement services to the University community. Faculty members are requested to report immediately to the Department of Police Services (678-4357) any person, action, or situation considered suspicious or hazardous. The University assumes no responsibility for the care and protection of personal property brought onto campus or left in the work location. Employees assume all risks against damage, loss, or theft of their personal property or the personal property of other persons they may bring on campus. For more information about Police Services, please visit <http://www.memphis.edu/police> .

## **Tickets**

University theatre and music tickets for on-campus performances are available in the Department of Theatre and Dance. Athletic tickets are available in the Athletic Office Building. For

information concerning other events, call the University Center Information Desk at 678-2041.

### **University-Owned Vehicles**

The University does not maintain vehicles for use on individual trips. Vehicles owned by the University are assigned to individual departments and activities to support University requirements for special and general-purpose vehicles. In addition, the University does not provide automobile liabilities and the Tennessee Claims Commission has jurisdiction to award damages for University employees' negligent operation of a vehicle. University employees who regularly make use of State-owned vehicles should contact their own insurance agents, if coverage is desired, to obtain a rider for liability coverage insuring them personally when operating a State vehicle (the University does not reimburse employees for this insurance). See also UofM Policy No. 1440 - <http://policies.memphis.edu/UM1440.htm>

### **Parking Services**

The university provides differing types of parking; ex: Priority, General, Resident, and Visitor. For specific information about availability or fees, please call Parking at 678-2212. For more information about Parking Services, please visit <http://bf.memphis.edu/parking/visitor.php>. Copies of the traffic code are available in the Parking Office at 505 Zach Curlin. Faculty members who wish to operate vehicles on the campus must register them in the Parking Office.

# Faculty Handbook – Appendices

## Contents

---

### Appendix A

- [Role of the Faculty Senate](#)
- [Form: Promotion and Tenure Appointment History](#)
- [Faculty Senate: Standing Rules](#)
- [Constitution, Special Rules of Order, and Standing Rules for the Faculty Senate](#)
- [Faculty Senate: Special Rules of Order](#)

### Appendix B

- [Form: External Evaluator List](#)

### Appendix C

- [Sample Request Letter](#)

### Appendix D

- [SIRS/SETEs Course Evaluation Summary](#)

---

## Appendix A

---

### Role of the Faculty Senate

*The Faculty Senate* is composed of elected faculty members. Administrators participate as observers by invitation. The Senate's Constitution defines its purpose as follows:

- serve as the primary vehicle of faculty participation in the governance of University policies;
- evaluate and make recommendations on policy in academic and closely related areas that touch on academic matters;
- approve graduation and general education curriculum requirements;
- evaluate and make recommendations on University-wide minimum criteria for faculty appointment, promotion, and tenure;
- evaluate and make recommendations on policies associated with conditions of employment;
- evaluate and make recommendations on policies for the academic use and operation of various academic support

functions including the University Library and Computer Services, the University calendar and other functions that directly affect academic matters;

- make recommendations on issues related to academic matters that are not specifically academic in nature;
- have responsibility for the maintenance of academic freedom and responsibility at the University;
- be the forum for the formulation of faculty opinion;
- review and approve the *Faculty Handbook* of The University of Memphis.

**Form: Promotion and Tenure  
Appointment History**

**Faculty Senate: Standing Rules Standing Rules**

The standing rules of the Faculty Senate are those operational guidelines the Senate may adopt, change, suspend or delete to create effective and efficient management of its business.

**Section 1. Meetings**

**A.Regularly Scheduled Meetings**

The Faculty Senate shall hold at least nine regularly scheduled meetings; on average one each month September through May. Regular Faculty Senate meetings shall be held on Tuesdays beginning at 2:40 p.m.

**B.Special Meetings**

If the majority of the Executive Committee agrees, a special meeting of the Senate may be called. Additionally, special meetings may be called by the Senate President upon petition of ten members of the Senate. In such cases, at least three working days written notice or e-mail notice will be given to all members of the Senate.

**C. Visitors**

Except for executive sessions, all meetings of the Senate shall be open to any member of the University Faculty, administration, student body, or visitors as may be invited in advance by the

President of the Senate.

## **Section 2. Faculty Senate Committees**

### **A. Committee Procedures**

The Senate shall establish committees to study and make reports on matters of concern to the University Faculty. Committees created by the Senate are committees of the Senate, receive their authority from the Senate, and shall report to the Senate. Senate committees shall not act independently of the Senate, and reports from these committees shall be presented to the Senate for consideration. Simple reports or progress reports may be made verbally, but any committee recommendations must be presented in writing. Committee work shall be done as a body and not by action of the Chair, either alone or following consultation with individual members of the committee. Actions taken shall be those of the committee as a whole representing a majority vote. The chair shall be elected from and by the members of that committee unless the chair is specified in the motion creating a special committee. The committee chair shall provide notice of meetings to each member of the committee and shall keep a record of those in attendance to be forwarded to the Senate office at the conclusion of each committee meeting.

### **B. Committees with Standing Authority in Addition to Those Created in the Constitution**

#### **1. Academic Policies Committee**

The Academic Policies Committee shall review and make recommendations to the Senate on admission and retention standards, curriculum, transfer requirements, academic advising, academic discipline, high school relations, residence requirements, non-credit academic programs, and related matters.

#### **2. Academic Support Committee**

The Academic Support Committee shall review and make recommendations to the Senate on the academic aspects of support activities such as computer services, centers for teaching excellence, writing laboratories, other similar support activities, and the allocation of fiscal resources for these activities.

#### **3. Faculty Policies Committee**

The Faculty Policies Committee shall review and make recommendations to the Senate on academic freedom and responsibility, the Faculty Handbook, faculty salaries and benefits, and on all policies and procedures, including appeals, pertaining to faculty appointment, dismissal, promotion, and tenure.

#### 4. Research Policies Committee

The Research Policies Committee shall conduct a continuous review of faculty research opportunities, the award and administration of University-supported grants, administration and support of grant and contract research, computer applications and utilization, and allocation and use of overhead funds.

#### 5. Administrative Policies Committee

The Administrative Policies Committee shall conduct a continuous review of policies, procedures, and practices associated with buildings and grounds, parking, campus security, faculty use of facilities, staff services to the academic programs of the University, the University Calendar, areas of student life that are of academic concern, and matters of joint interest to faculty and students. Students may appear before the Administrative Policies Committee by invitation of that Committee or at the request of the Student Government Association.

#### 6. Library Policies Committee

The Library Policies Committee shall conduct a continuous review of policies, Procedures, and practices associated with the libraries including support personnel, facilities, acquisitions, and related activities along with the allocation of fiscal resources.

### **Section 3. Representation by Proxy**

In the event that a Senator may, because of extenuating circumstances and for good cause, be unable to attend the Senate meeting or Senate committee meeting, the Senator may designate a faculty member from the same department, independent unit, or area as a representative. Written notice of such designation shall be provided to the President or the Secretary of the Senate before the appropriate meeting. This designated representative shall have voting privileges.

Senators who send representatives shall be noted as 'present by proxy' in Senate records.

#### **Section 4. Guidelines for Faculty Senate Elections**

A. In February of each year the Faculty Senate President will notify the current senator and the department chair or head of independent units and areas that elections are to take place in March. The chair or independent unit and area head will give at least a one week written notice to all faculty of the meeting in March when the election will occur.

B. The current senator will serve as the election official unless the current senator is a nominee for election.

C. Nominations may be by written petition signed by at least three faculty members and by open nomination from the floor.

#### **D. Voting**

1. Voting shall be by secret ballot unless a nominee is uncontested.

2. In elections where there are more than two nominees and no candidate receives a majority vote, the candidate with the lowest vote total will be dropped from the next ballot. This practice will continue for each ballot until a majority vote is received.

#### **E. Certificate of Agreement to Serve**

A new Senator shall complete the Certificate of Agreement to Serve and return it to the Office of the Faculty Senate no later than the first Tuesday in April.

#### **Section 5. Submittal Process and Deadline for Policy and Procedure Changes**

All proposed substantive changes to the Faculty Handbook coming from the Faculty Senate, the Administration and state regulatory bodies, must be submitted to the Director of Academic Affairs Administration by the last Monday in January. If changes from the state regulatory bodies fall outside the normal review cycle, those changes will be forwarded to the Faculty Executive Committee for timely review. Then those state regulatory bodies' changes will be incorporated into the Faculty Handbook. The proposed changes will then be forwarded to the reviewing

organization, either the Faculty Senate, or the Administration, or both, during the first week in February.

The proposed changes will be reviewed by either the Faculty Senate, or the Administration, or both. The review/dialog/agreement must be completed by the last week in March. If specific item(s) have no agreement, then the proposed item(s) changes will not be implemented and will be postponed for the following year Faculty Handbook review cycle.

The agreed upon changes will be included into the new Faculty Handbook and the updated handbook will be released the last week of April or the first week in May.

The current changes to the Faculty Handbook will be identified by highlighting the affected portions of the text for one year. Prior changes will be listed by date on a revision page which will be located prior to the Table of Contents, describing the location of the change. The color highlighting of the changes made in any given year will remain intact in the archive of that year's Faculty Handbook.

Past and current Faculty Handbooks will be archived by the director of Academic Affairs Administration and will be available electronically via the intranet at the University of Memphis.

## **Section 6. Speaking Protocol**

Before addressing the assembly, the speaker will clearly speak his/her name and area of representation.

## **Section 7. Representative of The University of Memphis to the Faculty Sub council of the Tennessee Board of Regents**

The Representative of The University of Memphis to the Faculty Sub council of the Tennessee Board of Regents shall be elected by the Senate from the University faculty, and shall be a non-voting, ex officio member of the Faculty Senate. The Representative of The University of Memphis to the Faculty Sub council of the Tennessee Board of Regents shall attend all Sub council meetings and represent the views of the Faculty of The University of Memphis and shall report all activities, decisions, and concerns of the Sub council to the Faculty Senate. The Representative must have served at least one year in the Senate prior to election and shall serve in this position for a two-year



term.

### **Section 8. Suspending Standing Rules**

A Senate standing rule may be suspended for any specific main motion by a simple majority vote of the Senate.

### **Section 9. Amending Standing Rules**

An amendment to the Senate standing rules may be proposed by any member of the Senate and becomes effective with a two-thirds affirmative vote of the Senate.

### **End of Standing**

#### **Constitution, Special Rules of Order, and Standing Rules for the Faculty Senate**

The Constitution of the Faculty Senate can be found at <http://www.memphis.edu/facultysenate/articles.htm#Constitution>

The Special Rules of Order for the Faculty Senate can be found at <http://www.memphis.edu/facultysenate/articles.htm#Special Rules>.

The Standing Rules for the Faculty Senate can be found at <http://www.memphis.edu/facultysenate/articles.htm#StandingRules>.

#### **Faculty Senate: Special Rules of Order**

##### **Special Rules of Order**

The special rules of the Faculty Senate are those rules of order that are different from and supersede the adopted parliamentary authority manual. Unless a rule is a fundamental right preserved by parliamentary law, these rules may be adopted, amended, deleted or suspended according to the will of the assembly.

##### **Reconsider**

The motion to reconsider may be made by any member of the assembly and is not limited to a member from the prevailing side.

##### **Minority Reports**

The issuance of a minority report from a committee member or members shall be considered a right and shall follow the

committee report before any action is taken on the committee report or its recommendations.

### **Special Rules for Elections**

In elections where there are more than two candidates for one position, and no candidate receives a majority vote, then the candidate with the lowest vote total will be dropped from the next ballot. This practice will continue for each ballot until a majority vote is received.

### **Committee Assignments Outside Standing Authority**

By a majority vote, the Faculty Senate may refer a matter to a standing or special committee covering an area that is reserved under another standing committee's standing authority.

### **Suspending Special Rules of Order**

A Special Rule may be suspended by a two-thirds vote of the Senate.

### **Adoption or Amendment of Special Rules of Order**

Adoption or amendment of Special Rules requires previous notice and a two-thirds vote or, without previous notice, a vote of the majority of the entire membership of the Senate.

### **End of Special Orders**

---

## **Appendix B**

---

**Form:** EXTERNAL EVALUATOR LIST  
**External** for  
**Evaluat** (*Applicant's Name*)  
**or List**

The individuals on the following list were suggested by Professor (*Applicant's Name*), the Department Chair or the Department Promotion Committee as indicated below. The comments have been assembled from each individual's vita/resume', from notes supplied by Professor (*Applicant's Name*), from discussions with the evaluator, and from consultation from other sources such as (*Who's Who in America, American Men*

and *Women in Science, etc.*). The list is notable for the quality and expertise of the individuals in the relevant subject areas and for their objective relation to Professor (*Applicant's Name*). The accompanying remarks are my own.

Department or T & P Committee Chair

Name	Nominated by
Candidate	Nominated by Department Committee

Nominated by Department Chair

Adrian  
Scholar  
X

Ronald  
McDonald  
X

Ruby Learnedwoman

1. Professor Adrian Scholar

Metaphysical Engineering

Duke University

Durham, North Carolina 27706

EDUCATION: B.S., M S., Ph.D., Massachusetts Institute of Technology

POSITION: Professor of Metaphysical Engineering

Fellow-American Society of Metaphysical Engineers

Dr. Scholar is the author of 130 technical articles on a diversity of topics in national metaphysics and extraterrestrial transport through porous media. He is the author of three graduate level text books: *Entropy Generation through Metaphysics* (Wiley, 1982), *Metaphysical Heat Transfer* (Wiley, 1984) and *Advanced Engineering Metaphysics* (Wiley, 1988). He has not met (*Applicant's Name*).

2. Professor Ronald McDonald

Metaphysical Engineering

Department California Polytechnic University-San Martin

San Martin, CA 93408

EDUCATION: B.S., Ph.D., University of Champaign

POSITION: Professor and Head

Fellow-American Society of Metaphysical Education

***Faculty Handbook 110***

MEMBER: American Society of Metaphysical Engineers American Society of Metaphysical Education (Chairman of Awards Division)

Professor McDonald was one of the three candidates for the Metaphysical Engineering Chairman position at UM who were invited for on-campus interviews in 1990. He has met (*Applicant's Name*). He is a reviewer for the J. Metaphysical Transfer and the Inter. J. Metaphysics Research.

3. Professor Ruby Learnedwoman

School of Metaphysical Engineering Druse College

Lafayette, IN 47907

EDUCATION: B.S., University of Illinois; Ph.D., Purdue University

POSITION: Professor

HONORS: Member of the National Academy of Engineering

Fellow-American Society of Metaphysical Engineers Fellow-American Institute of Metaphysical Astronautics Metaphysics Award-American Society of Metaphysical engineers

Dr. Learnedwoman had not met (*Applicant's Name*) until the summer of 1988. At that time, Dr. Learnedwoman was employed by the Electric Powered Metaphysics Institute (EPRI) to serve as a member of a team to review the progress and quality of (*Applicant's Name*) EPRI funded project. She serves as a Technical Editor of the J. Metaphysical Research and is a recognized expert in the area of underwater metaphysics.

---

## Appendix C

---

### Sample Request Letter

### SAMPLE REQUEST LETTER

*The (four to eight) external letters should provide a critical evaluation of the candidate's work rather than simply testimonials. It is recommended that the external evaluators initially be contacted by phone to determine their willingness and availability to provide these external assessments prior to sending materials.*

Date

Professor \_\_\_\_\_ Department of University City, State Zip

Dear Professor \_\_\_\_\_ :

On behalf of (the Department of \_\_\_\_\_ ) (the Tenure and Promotion Committee of the Department of \_\_\_\_\_ ), I appreciate your willingness to serve as an external evaluator of the application of Professor \_\_\_\_\_ for (tenure and promotion to Associate Professor/Professor) (promotion to Professor). As I indicated in our phone conversation on (date), external evaluations are extremely valuable in providing information and insight into the professional accomplishments of our faculty. Your evaluation will become a part of Professor --- 's dossier and will be a significant element in the review process and subsequent recommendation(s) from the Department to the Dean of the College of and to the Provost. Also, as per our conversation, we will need a copy of your vita/resume' in order to include a brief summary of credentials for the dossier

I am enclosing a copy of Professor \_\_\_\_\_ 's vita/resume' and some representative publications. I ask that you provide a candid evaluation of his/her work, with particular attention to the quality of his/her scholarship, his/her professional reputation nationally and internationally, and his/her potential for continual success in his/her discipline, together with any additional remarks you deem

appropriate. Please be aware that Tennessee's Open Records Law allows individuals to request and receive access to external and internal letters in their tenure and promotion files. We will need your evaluation and vita/resume' no later than (date). To facilitate your response, I have enclosed a self-addressed stamped envelope. If you have any questions regarding this request, please contact me.

I realize that this request places an added burden on your busy schedule. However, I also believe that you understand the importance of the entire process. Your efforts on behalf of Professor and The University of Memphis are greatly appreciated.

Sincerely,

Professor and Chair

---

## Appendix D

---

### **SIRS/SETEs Course Evaluation Summary**

A sample course evaluation summaries for SIRS (the older evaluations instrument) and for SETEs (the current evaluation instrument) are contained at <http://memphis.edu/sete/index.php>