

University of Memphis Herff College of Engineering Tenure and Promotion Guidelines

Introduction:

Each candidate who applies for tenure and/or promotion should first consult the guidelines and minimum criteria for tenure and/or promotion in the current edition of the University of Memphis (hereafter “university”) Faculty Handbook. A description of the materials required for the tenure and/or promotion dossier and the order of their assembly is maintained by the provost and posted on the university website. The tenure and promotion guidelines for the Herff College of Engineering (hereafter “college”) are intended to provide further clarification and specification of the guidelines of the university as they pertain to the college. The college guidelines provide procedural information and specify the minimum requirements and criteria for tenure and/or promotion in each department or approved center/institute (hereafter “department”) within the college. The criteria for tenure track faculty applying for tenure and/or promotion define the expectations for faculty in the areas of teaching, research/ scholarship/creative activity, and service. Additionally, the criteria for non-tenure track faculty applying for promotion define the expectations for faculty in the areas of teaching, research/ scholarship/creative activity, and/or service. Each department in the college must develop and maintain written procedures for tenure and/or promotion consistent with college and university policies and guidelines. Each department in the college has more specific criteria for tenure and/or promotion with respect to their respective disciplines.

Specific expectations of tenure-track and non-tenure track faculty appointments in the areas of teaching, research/scholarship/ creative activity, and/or service will be identified in the faculty appointment letter. All prospective faculty members, prior to their acceptance of a faculty position in a department or in the college should be informed of the procedures and criteria for tenure and/or promotion. Faculty should also carefully review the current college and department tenure and/or promotion guidelines, time schedule, and criteria prior to applying for tenure and/or promotion.

In the event any policy or provision in these guidelines conflicts with either the current edition of the university Faculty Handbook or policies approved by the University Board of Trustees, Board policies and/or the Faculty Handbook shall prevail in that order.

Part I. Criteria for Tenure and/or Promotion

Tenure-track and tenured faculty are expected to contribute to the missions of teaching, research/scholarship /creative activity, and service. Specific expectations of tenure track and tenured faculty appointments will be identified in the faculty appointment letter. All tenured and tenure-track faculty are expected to provide high quality instruction, pursue excellence in research/scholarship/creative activity, contribute meaningful service to the university, the public and/or their profession, and maintain a professional comportment consistent with the Faculty Code of Conduct.

Non-tenure-track faculty appointments are categorized by their primary academic responsibilities: teaching, research, clinical, or practice. Non-tenure track faculty are expected to perform the primary responsibilities established in the appointment document at a high level and maintain a professional comportment consistent with the Faculty Code of Conduct. Non-tenure-track promotion criteria are to be weighted in relation to the faculty member's assigned responsibilities.

Definitions of teaching, research/scholarship/creative activity, and service and examples of these activities are provided in the current edition of the Faculty Handbook. Variations in the demonstration of commitment to and competence in teaching, research/scholarship/creative activity, and service will occur between departments and even among faculty members within individual departments. Additionally, teaching, research/scholarship/creative activity, and service are interrelated, and some activities may span more than one area. The college guidelines are designed to recognize these factors when considering individuals for tenure and/or promotion to ranks of associate professor and professor.

Teaching is central to the mission of the university. Teaching encompasses classroom instruction, course development, mentoring students in academic projects including theses and dissertations, testing, grading, and the professional development of the faculty member as a teacher. Within the college, the types of evidence and documentation for excellence in teaching include the following:

- Course development
- Course grade distributions
- Laboratory development
- Educational courseware development
- Letters of support from prior students
- Teaching awards
- Teaching evaluations (e.g., SETE forms or equivalent, and internal peer evaluations)
- Mentoring of students
- Attendance at teaching workshops or educational conferences
- Peer-reviewed publications in teaching journals
- Evaluation of teaching as part of the annual performance review

Research/Scholarship/Creative Activities is a discipline-based, multidisciplinary activity that advances knowledge and learning by producing new ideas and understanding. In addition to traditional, individually driven research, interdisciplinary and collaborative work, engaged scholarship, and applied research are equally valued within the context of the college's mission. Types of evidence and documentation for effectiveness in research/scholarship/creative activities include the following:

- Refereed journal and conference publications
- Granted patents
- Invited papers and presentations at the regional, national and/or international level
- Substantial contributions to independent research
- Success in obtaining external research funding

- Active mentoring of undergraduate and graduate students in research activities
- Production of Masters and particularly Doctoral graduates for promotion to Professor
- Evaluation of research as part of the annual performance review

The criteria and guidelines for assessing research/scholarship/creative activities are established by the individual departments and tailored to the specific requirements and structures of their disciplines. It is the responsibility of each department to articulate the types of research/scholarship/creative activities that align with the mission of the department, college, and university. It is the candidate's responsibility to demonstrate the quality and significance of work in this area.

The faculty review committees at the department and college levels assess the record of scholarship regarding quality, innovation, and contributions to the field. For a more detailed description faculty members should consult their individual departmental promotion and tenure documents, the department chair, and members of the departmental tenure and promotion committee.

Service includes service to the university, service to the profession, and outreach to the community. These functions may overlap in some instances. Within the college, service encompasses serving on and/or leadership roles in departmental, college, university and/or professional organization committees, academic advising, editorships, journal/grant proposal review, guest/invited lectureships, and outreach/service to communities via professional expertise and in support of the University mission. Types of evidence and documentation for effectiveness in service include the following:

- Active participation in professional society activities
- Service on and/or leadership of professional societies and/or society committees
- Development of seminars, short courses, or other professional training tools
- Active participation on and/or leadership of university, college, and department committees
- Publication of bulletins, manuals, software, brochures, audio-visual presentations, or other significant contributions to the profession
- Undergraduate academic advising
- Other activities that provide service to the university, college, and/or department, community, and profession
- Community outreach
- Evaluation of service as part of the annual performance review

Promotion from Assistant Professor to Associate Professor: A tenure-track assistant professor recommended for tenure must also be recommended for promotion unless that rank has already been attained. For promotion of tenure track faculty to associate professor, the candidate must clearly present a history of significant achievement as an educator and scholar, as well as a strong potential for future professional growth and development. The minimum requirements for promotion from assistant professor to associate professor are:

1. evidence of effective teaching with a history of high-quality teaching;

2. the ability to perform high-quality independent research and/or scholarly activity with a record of growing research/scholarship/creative activities;
3. the supervision of graduate research assistants in departments which produce doctoral graduates; and
4. evidence of service to the institution, community and/or the profession.

For promotion of non-tenure track faculty, the candidate must also present a history of significant achievement and a strong potential for professional growth and development, though the scope is limited by the specifics of the appointment (teaching, research, or practice).

Promotion from Associate Professor to Professor: For promotion of a tenured associate professor to professor, the candidate must clearly be a leading scholar and educator whose national or international stature can serve as a standard for professional achievement. The minimum requirements for promotion from associate professor to professor are:

1. evidence of sustained, high-quality, effective teaching;
2. a record of sustained high-quality research/scholarly activity;
3. the supervision of graduate research assistants in departments which produce doctoral graduates; and
4. evidence of sustained service to the institution, community and to the profession.

For promotion of non-tenure track faculty, candidates are required to be leading scholars and/or educators whose national or international stature can serve as a standard for professional achievement, though the scope is limited by the specifics of the appointment (teaching, research, or practice).

Part II. Preparation for Tenure and/or Promotion Review

A full-time faculty member should work closely with their colleagues at a higher rank and the department chair to define goals and to establish documented evidence of excellence to be sure that they are meeting obligations and performing at the level expected by the department, academic unit, and university.

The Dossier. The format and organization for preparing the dossier for tenure and/or promotion are found on the website for the provost's office. 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. The candidate's dossier must conform to the university format. Candidates should consult with their chair to determine the specific sections of the dossier to include. At a minimum, the dossier should include all sections relevant to the nature of the appointment.

Part III. Department Level Policies and Procedures for Tenure and/or Promotion

Participation in the department tenure and promotion committee is an important duty of every faculty

member. It is expected that all eligible department tenure and promotion committee members will carefully review candidate files and participate in departmental deliberations and votes. It is further expected that all faculty members who have attained the rank of either associate professor or professor will participate in the mentoring of faculty who have not yet attained that rank.

1. The associate professors and professors of the department, in consultation with all the department faculty, shall be responsible for establishing departmental policies and procedures for promotion. The policies and procedures must be approved by a simple majority of all associate professors and professors. The tenured associate professors and professors of the department, in consultation with the faculty, shall be responsible for establishing departmental policies and procedures for tenure. The policies and procedures related to tenure must be approved by a simple majority of all tenured associate professors and professors.
2. The department shall develop specific criteria and guidelines that a candidate is expected to meet for tenure and/or promotion. The department, college, and university guidelines shall be made available online and the chair of each department committee should provide updates to the dean as they become available for publication. It is, however, the responsibility of the candidate to keep current on changes in the guidelines.
3. For faculty with a five-year or six-year tenure probation period, a mid-term evaluation during the spring term of the third academic year will be made by the department's tenure and promotion committee and the department chair in accordance with the procedures described in the Faculty Handbook. For faculty members with a four-year tenure probation period, the mid-term evaluation should be conducted during the spring term of the second academic year. Faculty with tenure probation periods of three years or less will not undergo a mid-tenure review.
4. For non-tenure track faculty, a review of the progress toward promotion should be done during the annual evaluation by the department chair.
5. For promotion to rank of tenured associate professor, the department tenure and promotion committee shall consist of all tenured associate professors and professors. For promotion to the rank of tenured professor, the committee shall consist of only tenured professors. Spouses and other relatives of a candidate may not participate in deliberations or voting on that candidate. Only eligible committee members who have reviewed a candidate's files and are present for deliberations may participate in the formal anonymous vote.
6. For promotion of non-tenure track faculty to associate professor, the department promotion committee shall consist of all tenured and non-tenure track associate professors and professors. For promotion to professor, the committee shall consist of all tenured and non-tenure track professors. Spouses and other relatives of a candidate may not participate in deliberations or voting on that candidate. Only eligible committee members who have reviewed a candidate's files and are present for deliberations may participate in the formal anonymous vote.
7. The department chair may not serve on the department tenure and promotion committee.
8. In unusual circumstances (e.g., insufficient numbers of higher ranked faculty members within a department), additional tenured and non-tenure track faculty may be appointed to the promotion committee by the provost upon request from the department chair and dean.
9. In accordance with the procedures outlined in the Faculty Handbook, each department shall

devise specific criteria for solicitation of a minimum of four external peer reviewers of candidates for tenure and promotion to associate professor, promotion to professor with tenure, promotion to research associate professor, and promotion to research professor. Every effort shall be made to minimize biases for or against the candidate when selecting qualified peers.

- a. External peer reviews of scholarly achievements are expected for non-tenure track research professors, but not non-tenure track professors of teaching or practice.
 - b. The reviewers are to be chosen in accordance with departmental and Faculty Handbook guidelines. A summary of the reviewers' credentials will be included in the dossier. Candidates will not have access to the external review letters at the departmental level.
 - c. The Faculty Handbook specifies that the minimum number of external peer reviewers of candidates for promotion and tenure is four. The college, however, encourages departments to provide a minimum of five letters of peer review to avoid such circumstances where a candidate is disadvantaged by either a reviewer withdrawing at the last moment, resulting in fewer than four review letters, or one or more of the letters being overtly abstract in their commentary such that the letter is not persuasive evidence in review of the candidate.
 - d. Regardless of the number received, all external review letters must be uploaded as part of the dossier. Neither the candidate nor the department shall have the ability to select a subset of the letters even if more than the university minimum were solicited. 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 should be selected from peer or peer-aspirational institutions and reviewers for candidates seeking the rank of professor will be professors themselves.
10. The review, vote, recommendations, and transmittal of documents by the department tenure and promotion committee shall be conducted in accordance with Faculty Handbook.
 11. The review, recommendation, and transmittal of the documents by the department chair shall be conducted in accordance with Faculty Handbook.
 12. The review, vote, recommendations, and transmittal of documents by the college tenure and promotion committee and the dean of the college shall be conducted in accordance with Faculty Handbook.
 13. Requests for a tenure probation reduction are to be submitted to the dean no later than March 1st of the calendar year in which the tenure application will be made unless negotiated at the time of hire. Requests not agreed to at the time of hire require an approval form to be included in the candidate's dossier with signatures of the chair, dean, and provost.
 14. Early promotion to associate professor requires an approval form signed by the department chair, dean, and provost, unless an early promotion application was stipulated in the offer letter. The written approvals shall be included in the dossier.

Part III. College-Level Policies and Procedures for Tenure and/or Promotion

The college tenure and promotion committee have responsibility for ensuring 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 in accordance with policy and

procedures outlined in the Faculty Handbook. 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 tenure and promotion committee shall review the written standards from the candidate's department and make a judgment regarding the candidate's achievement of those standards. The college committee also shall examine the candidate's credentials relative to the college guidelines to ensure that the professional expectations of the college have been achieved. Finally, the committee shall review the candidate's potential for future growth and development based on the evidence presented in the candidate's materials and the evaluative comments of the department tenure and promotion committee and the department chair.

The membership requirements and selection process for the college tenure and promotion committee shall be as follows:

1. The committee shall consist of a minimum of five (5) tenured professors, one representative from each department within the college. If a department does not have a faculty member at the rank of professor who is eligible to serve, then the department may elect a tenured associate professor to represent the department on the college committee. An associate professor serving on the college committee may not participate in the deliberations and votes on candidates applying for promotion from the rank of associate professor to professor.
2. When evaluating non-tenure track faculty, the committee will include an additional non-tenure-track faculty member, appointed by the dean, at the rank being applied for or above who contributes to the aspects of the university mission in which the candidate will be evaluated. The non-tenure-track faculty committee member may not participate in committee deliberations and votes for tenure and/or promotion of tenured and tenure-track faculty members.
3. An additional tenured professor shall be appointed by the dean in order to ensure the full representation of faculty competence in teaching, scholarship, and service.
4. If the college has an insufficient numbers of higher ranked faculty members to fill the required committee composition, tenured and non-tenure track faculty outside of the college may be appointed to the tenure and promotion committee by the provost upon request from the dean to complete the composition of the committee.
5. One term of service is three (3) consecutive years.
6. The departmental representative members of the committee will be elected by simple majority of all faculty members within their department.
7. No member of the committee who is currently serving in an academic administrative position (for example, department chair, dean, associate dean, vice-provost, vice-president, provost, or president) is eligible to serve on the committee while serving in the administrative position.
8. A specific faculty member cannot serve more than two consecutive terms unless no other candidate is eligible.
9. If a departmental representative cannot serve the full term, the department shall elect a replacement to finish the term.
10. If a member appointed by the dean cannot serve the full term, the dean shall appoint a replacement to finish the term as needed.

The college tenure and promotion committee operating procedures shall be as follows:

1. The dean shall assemble the committee for its initial meeting in October of each year. For a case of tenure by appointment, the college will provide an expedited timeline for the tenure review process at the department and college level such that the candidate's application for tenure can be considered at the next meeting of the Board of Trustees.
2. Committee officers will consist of a chair and a chair-elect. The officers will serve for two (2) consecutive academic years; the first year as chair-elect, and then succeeding to the chair position in the second year.
3. The first order of business shall be the election of the chair-elect through a process of open nominations and using a simple majority vote. The chair-elect is elected annually.
4. The chair-elect will become chair at the beginning of the academic year following his/her election to this position. Any member who has two or more years remaining in his/her term is eligible to be elected chair-elect.
5. A person cannot serve as chair and chair-elect concurrently.
6. The chair and chair-elect shall facilitate the work of the committee and have full voting privileges.
7. The chair shall be responsible for maintaining the agenda, completing the final candidate recommendation, and ensuring that all vote counts are properly recorded.
8. For tenure and/or promotion decisions, the committee must have all qualified members present to vote.
9. The chair shall be provided with the candidate's materials, including the recommendation documents of both the departmental tenure and promotion committee and the department chair. The transmittal of this material will be from the department chair via the dean to the chair of the college tenure and promotion committee.
10. The chair-elect will be responsible for assisting the chair in their duties and will assume chair responsibilities if the chair is unable to complete their duties for any reason.
11. Each committee member shall be expected to review the files of all applicants.
12. Candidates from a single department shall be considered individually.
13. Because promotion to associate professor for tenure-track faculty accompanies tenure in all cases, unless that rank has already been attained, the vote for tenure shall also be the vote for associate professor, where applicable.
14. For non-tenure track faculty, the vote shall be only for promotion.
15. The review, vote, recommendations, and transmittal of documents by the department tenure and promotion committee shall be conducted in accordance with Faculty Handbook. Committee members shall maintain complete confidentiality regarding deliberations of the committee. A faculty member serving on the college tenure and promotion committee shall recuse themselves from the discussion of a colleague from his or her department in the college committee and shall not participate in the college committee vote on that faculty member.
16. The review, recommendation, and transmittal of the documents by the dean shall be conducted in accordance with Faculty Handbook.

Part IV. Revision of Tenure and Promotion Guidelines

Approval of these guidelines is subject to a simple majority approval of the full-time faculty members in the college present at a regularly scheduled college faculty meeting. Only tenure track and tenured faculty may vote on specific guidelines related to tenure. The guidelines shall become effective upon final approval by the dean and the provost.

1. Any full-time faculty member in the college may propose revisions to the guidelines. Revisions may also be proposed by the dean and the college tenure and promotion committee. Proposed revisions are only eligible for inclusion in the next academic year tenure and promotion cycle if the revisions are submitted to the dean no later than the last day in February of the current academic year.
2. The dean shall forward proposed revisions to the college tenure and promotion committee for discussion and review.
3. The college tenure and promotion committee shall review any proposed revisions and vote for or against the revisions based a simple majority vote of the committee members. The committee will transmit the outcome of the majority vote and provide a rationale for the outcome to the dean and to the faculty member that proposed the revisions. If the majority vote is against the revisions, the revision process is concluded.
4. If the committee votes in favor of the revisions, the dean shall send a copy of the proposed revisions to the college faculty at least 30 days prior to holding a vote on the changes at a regularly scheduled college faculty meeting.
5. At a regularly scheduled faculty meeting, the dean will hold a simple majority vote of the full-time faculty in attendance on whether to approve or disapprove of the proposed revisions. Only tenure track and tenured faculty may vote on specific revisions to guidelines related to tenure. If the majority vote is against the proposed revisions, the revision process is concluded.
6. If the college faculty vote in favor of the revisions, the dean will decide whether to approve or disapprove of the proposed revisions. If the dean approves of the revisions, then the revised guidelines will be transmitted to the provost for review and final approval. If the dean does not approve the revisions, the dean will notify the college faculty of the negative decision, provide a rationale for the decision, and the revision process is concluded.
7. If the provost approves, the revisions process is concluded once the dean disseminates the revised college guidelines to the college faculty and ensures the revised guidelines are posted on the university website. If the provost does not approve of the revised guidelines, then the revision process is concluded.

HERFF COLLEGE OF ENGINEERING TENURE AND PROMOTION DEADLINES

Step	Responsibility	Action	Deadline
1	Department Chair	Appoint/Elect Chair of Incoming Department T&P Committee.	First Day of Spring Semester
2	Candidate	Notify Department Chair of intent to apply for Tenure and/or Promotion and provide list of suggested external reviewers.	First Day of Spring Semester
3	Chair	Provide list of candidates applying for Tenure and/or Promotion to Dean.	First Day of Spring Semester
4	Department T&P Committee Chair	Independently develop list of potential external reviewers.	February 15
5	Department Chair	In consultation with Department T&P Committee Chair, finalize list of reviewers and solicit their agreement to review the candidate's materials.	March 1
6	Candidate	Assemble packet of scholarly work and vitae to submit to external reviewers.	March 15
7	Department Chair or T&P Committee Chair	Send cover letter, candidate's materials, and Department T&P Guidelines (criteria) to reviewers.	April 1
8	Dean	Submit listing of all faculty applying for Tenure and/or Promotion to the Provost.	August 30
9	Candidate	Complete dossier and supporting materials (following current Faculty Handbook guidelines); submit to Department Chair.	September 1
10	Department Chair	Collect all materials (candidate's dossier, add external review letters and materials describing reviewers' credentials, etc. and curriculum vitae); submit to Department T&P Committee.	September 15
11	Department T&P Committee Chair	Schedule and lead Department T&P Committee review meetings; draft Committee recommendation for member review; finalize; submit Committee recommendation with all materials to Department Chair.	September 30
12	Department Chair	Review candidate's dossier and provide recommendation to Dean's Office, who will forward to College T&P Committee.	October 15
13	College T&P Committee Chair	Schedule and lead College T&P Committee review meetings; draft Committee recommendation for member review; finalize; submit Committee recommendation with all materials to Dean.	November 1
14	Dean	Required documents from the candidates' dossiers and recommendations of Department Chairs, Department T&P Committees, College T&P Committee, and Dean submitted to the Provost.	3 rd Friday in November
15	Candidate	Candidates receiving a negative recommendation from the Provost must contact the Chair of the Appeals Committee, if they intend to appeal the recommendation.	February 15

Mid-Probationary Review Deadlines

Step	Responsibility	Action	Deadline
1	Candidate	Complete dossier and supporting materials; submit to Department Chair, who will forward to Department T&P Committee.	First day of Spring Semester
2	Department T&P Committee Chair	Schedule and lead Department T&P Committee review meetings; draft Committee recommendation for member review; finalize; submit Committee recommendation with all materials to Department Chair.	February 1
3	Department Chair	Review dossier and provide recommendation to Dean's office, who will forward to the College T&P Committee.	February 7
4	College T&P Committee Chair	Schedule and lead College T&P Committee review meetings; draft Committee recommendation for member review; finalize; submit Committee recommendation with all materials to Dean.	February 15
5	Dean	Review dossier and provide recommendation to the Provost.	March 1