



**The University of Memphis**

**College of Education**

**Department of Counseling, Educational Psychology  
and Research**

**Tenure and Promotion Policy and Procedures**

**2020**

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## Department of Counseling, Educational Psychology and Research

### *Policies, Standards, and Procedures for Mid-Tenure Review, Promotion to Associate Professor with Tenure, and Promotion to Professor*

2020

#### **Introduction**

The professional activities of the faculty of the Department of Counseling, Educational Psychology and Research support and advance the principal missions of the department.

These are:

1. To produce and disseminate research-based knowledge. Such knowledge encompasses original research focusing on new empirical facts, ideas, and theories; scholarship that synthesizes and integrates; the application of knowledge and methods to problems, especially in, but not restricted to, the public domain; and scholarship that leads to improved teaching and advising.
2. To provide high quality teaching, advising, and supervision to students enrolled in department programs.
3. To provide high quality professional service in the particular area of expertise; respective disciplines within the department or college; relevant cognate fields; to appropriate professional organizations; and to various communities from the local to the global.

The Counseling, Educational Psychology and Research faculty present a great variety of profiles as a function of the roles they play in different contexts and the constituencies they address. To fulfill the functions expected, we deliberately cultivate complementary knowledge, skills, and dispositions across our diverse faculty. Teaching, research, and service contributions, therefore, may vary dramatically among faculty within the unit, yet be considered similarly meritorious. Among untenured and tenured professors alike, some may exhibit a profile that prioritizes basic and/or applied research over teaching and service. Others may balance efforts relatively evenly across the three categories. All faculty are expected to produce scholarly accomplishments, teach and advise students, and provide professional service. While the quantity of scholarly products, advisees, courses, service activities expected in each area will differ according to the nature and extent of other responsibilities, each faculty is expected to meet a minimum level of competency in each area.

Accomplishments in scholarship, teaching, and service are the principal bases for the allocation of rewards to department faculty, and collegiality is considered within each of these three domains.

#### **Definitions**

**Scholarship.** Scholarship is a discipline-based, multi-disciplinary activity that advances knowledge and learning by producing new ideas and understandings. In the course of advancing

scholarship, faculty members demonstrate their scholarly contributions as per the guidelines of the *University of Memphis Faculty Handbook*, through products that are appropriate to the discipline and published or presented in a peer-reviewed forum. The principal objectives in the evaluation of research work (as broadly conceived) are to determine the quality and quantity of research activity, its significance, and the extent of its dissemination. ***It should be emphasized that quality is more important than quantity.*** Scholarship includes the following subcategories. Individual faculty members are not expected to contribute in all subcategories. There is some overlap in the meaning of the subcategories, and a particular scholarly contribution may fall under more than one subcategory.

**Inquiry:** The scholarship of inquiry involves rigorous investigation aimed at the discovery of new knowledge within one's own discipline or area of study. In many ways, inquiry serves as the basis for other forms of scholarship. Evidence of activity in this area includes peer-reviewed:

- Scholarly publications
- Funded research
- Presentations at professional meetings

**Integration:** The scholarship of integration makes meaningful connections between previously unrelated topics, facts, or observations. Activity in this area should result in peer-reviewed presentations or publications. Examples are:

- Cross-disciplinary synthesis
- The conceptualization of an integrative framework within a discipline that results in a peer-reviewed publication or presentation

**Teaching:** 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*." <sup>[17]</sup><sub>SEP</sub> Examples include:

- Writing an appropriate textbook or educational article in one's discipline
- Presentations at professional meetings on innovative approaches to teaching in one's discipline

**Engaged scholarship:** Per the University of Memphis Faculty Handbook, 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<sup>SEP</sup> evaluation. Innovative contributions to scholarship, insofar as they are published or presented in a peer-reviewed forum would also constitute engaged scholarship. Engaged scholarship could include activities of the following kind, when such activities result in products open to peer review:

- The development of content-based seminars and workshops
- The provision of technical assistance
- The evaluation of public and private sector institutions, and policies

**Examples of forms of scholarly accomplishments appropriate for evaluation of any of the areas of scholarship** include, but are not limited to, the following:

**Major accomplishments** include original products pertaining to the scholarship of inquiry, integration, teaching, or engaged scholarship that have been externally reviewed and are at the national/international level of recognition:

- Refereed national or international journal article or monograph. Quality of the journal in the discipline is considered via examination of evidence such as impact factor (as appropriate for the journal), rejection rate, and sponsorship of the journal by a major professional organization. Publications in top-tier journals in one's area are considered an especial mark of quality.
- Written or edited book from a major publishing company (first editions take precedence over revised editions)
- PI or co-PI on competitive research grant (externally funded)
- Guest editor for a special issue of a journal

**Secondary accomplishments** include original products pertaining to the scholarship of inquiry, integration, teaching, or engaged scholarship that have been externally reviewed and are at least at the regional level of recognition:

- Invited journal article (not peer reviewed)
- Refereed professional society (national or international) paper presentation
- Invited presentation at a professional society conference (national or international) with a paper
- Chapter in edited book (major publishing company)
- Refereed regional journal article or monograph
- U of M faculty research grant
- Competitive research grant proposal (for external funding)

#### **Other accomplishments**

- Refereed paper presentation or invited presentation for a regional society conference

- Authorship of professional manual, guides, videotape, cassette tapes, or computer software
- Unpublished manuscript (in review and under a second or third round of editorial review, indicating high likelihood of being published)

It is expected that the successful candidate will have a portfolio of scholarly products that includes major, secondary, and other accomplishments.

**Teaching.** Teaching encompasses classroom instruction, testing, grading, course development, and mentoring students in academic projects including dissertations. Teaching is central to the purposes and objectives of the University of Memphis, and it should be evaluated, rewarded, and encouraged. The evaluation of teaching should be adaptable to differences among disciplines and should be both formative (to improve teaching skills) and summative (to judge teaching skills.) Since the evaluation of teaching is primarily a qualitative process, multiple sources of evidence should be employed to increase the validity of the evaluation. One source of evidence will be SETE student evaluations (summary numbers and all narrative comments from students), to be obtained for all classes in all program areas for all semesters, including summer sessions. The student evaluation instrument should include a standardized questionnaire with a substantial narrative portion. Sections may be added to address the special nature of the disciplines and the mode of instruction in different classes. Since mentoring students at all levels is an important aspect of teaching activities, it should be taken into account in evaluations of faculty teaching. Creative and effective use of innovative teaching methods and curricular innovations should be encouraged and constructively evaluated.

**The areas appropriate for the evaluation of teaching** include, but are not limited to, the following:

- Student evaluations for each course each semester
- Writing instructional or pedagogical textbooks
- Designing new courses
- Restructuring existing courses
- Innovative teaching techniques
- Position papers written about teaching, learning, and other creative approaches to the teaching function
- Course syllabi
- Courses taught, with the number and level of students (this includes directed readings, practicum, supervised research, special problems, etc.)
- Course reading lists
- Workshops attended or other professional development designed to improve teaching effectiveness
- Ability to motivate students
- Peer review of teaching or content analysis of materials used in courses
- Faculty comments regarding interpretation of grade distributions relative to the particular course

**Service.** Service is undertaking citizenship activities in the department, college and university, in the profession, or in the community that support the mission of the university. These functions may overlap in some instances. All faculty members will perform basic citizenship activities with the department, college, and university. Some faculty may accept more extensive citizenship functions such as a leadership role in the Faculty Senate. Effective and substantial citizenship service should be rewarded. Faculty members are encouraged to perform outreach and professional service in addition to basic citizenship activities, and such service should be rewarded. Service to the profession is manifested by involvement in and service to regional, national, or international professional associations and organizations. Outreach refers primarily to sharing professional expertise with parties outside the university but, under very rare circumstances, may include non-professionally related activities outside the university. Outreach should directly support the goals and mission of the university.

**The forms of service appropriate for evaluation** include, but are not limited to, the following:

**Department, college, and university**

- Serving on department, college, or university committees and task forces
- Serving on the Faculty Senate
- Advising student organizations
- Advising students
- Conducting staff/faculty in-services
- Serving as guest lecturer
- U of M liaison to other universities
- Judging academic competitions

**Professional service:**

- Professional society memberships
- Professional society offices
- Reviewer for professional conferences
- Conference committees or society committees
- Serving as journal editor, editorial board member, and/or reviewer
- Textbook reviews
- Book review published in professional journal
- Speeches, workshops, and invited presentations at professional meetings (non-refereed talks, not-refereed papers)
- Guest lecturing on other campuses

**Outreach service:**

- Speeches, workshops, and invited presentations for schools/community
- School/community/government projects, boards, committees, or offices

The collegiality of the faculty member should be considered in all tenure and promotion decisions. It, however, should 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. Because the department values teamwork, evidence of collegiality plays a role in faculty evaluation. Given college guidelines and taking into account the unique mission and demands of the department of Counseling, Educational Psychology and Research, considerations of collegiality should be made under each of the categories of Teaching, Scholarship, and Service.

**The areas appropriate for the evaluation of collegiality** include, but are not limited to, the following:

**Teaching:**

- Developing joint or interdisciplinary courses
- Working with colleagues to develop curricula or course sequences
- Serving on dissertation or thesis committees outside the department
- Mentoring or providing assistance or training to improve others' teaching
- Holding regular office hours or being available for consultation with students
- Being responsive to suggestions for improved teaching based on annual evaluation

**Research:**

- Collaboration on research projects
- Organization of or participation in research groups, lecture series, etc.
- Research and publishing with students
- Interdisciplinary research
- Reviewing and critiquing colleagues' or students' papers and grants
- Willingness to assist others with their research

**Service:**

- Attending and participating responsibly in faculty meetings, on committees, assignments, and other university service activities
- Discharging assignments and responsibilities in an expedient manner
- Providing assistance on informal, "behind the scenes" tasks

- Respectful collaboration with colleagues (e.g., engaging in problem-solving) when dealing with professional concerns or problems

Faculty should keep materials in a file containing evidence of contributions and accomplishments so that the necessary work to develop a dossier for third-year review and tenure and promotion reviews can be expedited. It is recommended that faculty use the Dossier preparation information to create folders (using cloud-based storage in the case of computer failure) to organize their supporting materials as they obtain them rather than gathering their materials at the time of third-year review and tenure and promotion. Dossier preparation information can be found at [http://www.memphis.edu/aa/resources/facres/tenurepromotion/docs/instructions\\_for\\_edossier.pdf](http://www.memphis.edu/aa/resources/facres/tenurepromotion/docs/instructions_for_edossier.pdf) or in Appendix A.

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

Department chairs evaluate the faculty in their departments annually and the results of these evaluations are 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. **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.**

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, and (2) a current curriculum vitae. The Department Chair might also request 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. See the Guidelines for Annual Review Document for additional information on the Annual Review process.

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 retained and included in the tenure and promotion file of all tenure-track faculty. It is recommended that faculty members download copies of their annual evaluations from the WORKforUM system and store them in their folders of supporting materials.

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 at the university level in the recommendation to grant tenure and/or promotion.

### **Mid-Tenure Review (Third-Year Review)**

The third-year review is a major midterm evaluation of untenured faculty in tenure-track positions and is conducted at the end of the faculty member's third year of appointment. The purpose of the review is to provide the Departmental Tenure and Promotion Committee, the chair, the dean, and the faculty member with information about the candidate's progress toward promotion and tenure. During this process, the committee chair and department chair should provide the candidate with information about his or her progress toward application for tenure.

**Materials.** Each faculty member is responsible for presenting documentation (a dossier) of contributions and accomplishments according to departmental or academic unit, college, and university guidelines. These materials are reviewed by the Departmental Tenure and Promotion Committee, 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. The dossier for the mid-tenure review uses the same format as the dossier for tenure and promotion, with the exception of letters from external peer reviewers, which are not required for mid-tenure review. The format of The University of Memphis Tenure and Promotion dossier ([http://www.memphis.edu/aa/resources/facres/tenurepromotion/docs/instructions\\_for\\_edossier.pdf](http://www.memphis.edu/aa/resources/facres/tenurepromotion/docs/instructions_for_edossier.pdf) or in Appendix A) should be used. Materials should provide evidence of quality in scholarship, instruction, and outreach/service. The inclusion of non-essential documents is discouraged. Faculty should be prepared to submit their documentation by the beginning of the spring semester of their third year. All materials for evaluation will be uploaded to OneDrive using the dossier instructions above. Candidates will receive a link to a secure OneDrive folder and permission to upload materials to that folder. Appendix B provides suggested deadlines for the process of developing and submitting the third-year and T & P dossiers for review.

**Process.** Although this review is required of all untenured tenure-track faculty, exceptions could be made as needed for those faculty who come into the university with years of credit toward tenure. The department chair will initiate the third-year review process for eligible faculty by appointing a chair of the faculty committee (generally the same tenured faculty who serve on the Departmental Tenure and Promotion Committee) who will review the candidates' third-year review materials during the spring semester. After receiving the recommendations of the Departmental Tenure and Promotion Committee, the department chair will make his/her own recommendations and forward both to the Dean of the College. The department chair will meet with the faculty member to share the recommendations made by the committee and the chair and to provide guidance in directing future work.

**Evaluation 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. All discussions will be held in strict confidence. If additional information is required by the committee, the committee chair will inform the department chair of this and then request this information from the faculty candidate. 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.

**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. However, the quantity of work produced by the faculty member for the mid-tenure review is expected to be necessarily less than the quantity produced for tenure and promotion to associate professor. The evaluation 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.

**Feedback.** The committee chair will prepare a written report based on the recommendation of the Departmental Tenure and Promotion Committee members that is submitted to the department

chair or equivalent. The report should specify the department's criteria and discuss, in particular, both the strengths and weaknesses of the faculty member's accomplishments in scholarship, instruction, 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 then prepare a written report that addresses the strengths and weaknesses of the faculty member's accomplishments in instruction, scholarship, and outreach/service.

Copies of the Department Committee and Chair's reports (in paper and PDF) will be presented to the faculty member. The Departmental Tenure and Promotion Committee chair, and 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 Departmental 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 Departmental Tenure and Promotion Committee and the department chair, and the candidate's response (if any) constitute the candidate's file. The department chair is responsible for forwarding the candidate's file to the dean.

### **Tenure and Promotion to Associate Professor**

**Tenure.** A faculty member with the rank of assistant professor or higher who has completed a five-year probationary period (unless otherwise prescribed in writing and approved by the Dean and Provost) must make application for tenure. Absent an exception approved by the Dean, the Provost, and the President, application for tenure must be submitted at the beginning of the fall of the sixth or final probationary year. Exceptions that may affect the length of the probationary period are addressed in the Faculty Handbook in the sections entitled "Credit for Prior Service," "Credit for Administrative Position or Transfer," "Extension of the Probationary Period," "Stopping the Clock," and "Leaves of Absence."

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 is granted; or tenure is denied. Re-application for tenure is not possible and the seventh year, or other final year following application for tenure, will be terminal if tenure is denied. Per the University of Memphis *Faculty Handbook*, faculty members who are not recommended for tenure and promotion will be given notice of non-renewal of the appointment. Upon receipt of notice of such non-renewal, the faculty member will be eligible for a one-year non-renewable appointment at the University.

Failure to submit an application for tenure in the academic year that precedes the end of the probationary period will result in non-renewal of the candidate's contract for the following year. Unlike unsuccessful applications for tenure, the candidate will not be accorded an automatic one-year contract if he/she fails to apply for tenure at the specified time.

Faculty holding temporary appointments are not eligible for tenure. Also, faculty may not be tenured in an administrative position. A faculty member will retain tenure in his/her former faculty position when appointed to an administrative position, and those otherwise eligible for tenure and who also hold an administrative position may earn tenure in the faculty position only.

**Promotion.** Faculty members may apply for promotion whenever they believe they meet the established criteria. Faculty members are advised, but not required, to confer with the department chair before submitting applications for promotion.

### **Departmental Review Process and Timeline for Tenure and Promotion**

The department chair has the responsibility of initiating the promotion to Associate Professor with tenure for eligible faculty in the department, although a faculty member may submit his or her name to the chair. Faculty members must meet the minimum eligibility requirements for Associate Professor with tenure as delineated in the most recent *University of Memphis Faculty Handbook*. At the beginning of each fall semester, faculty eligible for promotion should be notified by the chair and supplied with copies of the department, college and university guidelines and review forms for promotion and tenure, as well as deadlines for submitting dossiers for promotion. Faculty will provide names of potential external reviewers (see External Reviewers section below) to the Department Chair in late spring of the fifth year prior to the submission of their documentation. Faculty members will prepare documentation for the external reviewers (i.e., curriculum vitae, a representative sample of scholarly work) by the end of the fifth year spring semester. Faculty should be prepared to have their materials ready to upload to the electronic dossier by the beginning of the Fall Semester of the sixth year. The names of faculty members to be considered for promotion to Associate Professor with tenure will be forwarded to the Departmental Tenure and Promotion Committee in early to mid fall semester. After receiving the recommendations of the Departmental Tenure and Promotion Committee, the chair will make his/her own recommendation and forward both to the College Promotion and Tenure Committee.

### **Dossier for Promotion to Associate Professor with Tenure**

Each candidate must present a dossier of materials in support of promotion prepared according to the format mandated in the *University of Memphis Faculty Handbook* (see below). Supporting materials must include copies of all publications and summary student evaluations of courses. The inclusion of non-essential documents is discouraged.

All materials for evaluation will be uploaded to OneDrive. Candidates will receive a link to a secure OneDrive folder and permission to upload materials to that folder. All candidates prepare dossiers for review in consultation with the Department Chair. Great care should be taken in the preparation of the dossier. Once the dossier has been submitted for evaluation, the candidate cannot access it. Nothing may be added to or removed from a candidate's dossier after it has been evaluated by the Departmental Tenure and Promotion Committee. See the Tenure and Promotion Dossier Guidelines for OneDrive for detailed information regarding required documents and order of materials:

[http://www.memphis.edu/aa/resources/facres/tenurepromotion/docs/instructions\\_for\\_edossier.pdf](http://www.memphis.edu/aa/resources/facres/tenurepromotion/docs/instructions_for_edossier.pdf)

This material is also included in Appendix A.

- Information for teaching will contain the candidate's evidence of successful teaching, including SETE summaries, all SETE narrative comments, syllabi, and any other evaluative materials required by departments.
- Information for scholarship contains evidence of the candidate's scholarly activities. Copies of all publications, papers and reports must be included. Only publications that are in print or in press (i.e., fully accepted, with a letter documenting full acceptance) should be considered publications. Articles or chapters that are under review or revision, regardless of how many times they have been revised, should be listed separately as works under review. Additionally, technical reports, book chapters, and other products should not be listed under refereed journal articles. Multi-authored publications should be accompanied by an attribution statement or other information stating the role and degree of effort on the part of the candidate in each publication. When possible, information about the review process, journal acceptance rates, citation rates, and impact factors (as appropriate to the journal) should be submitted attached to the publication. If this information is not available, the candidate should describe the journal. Information concerning extra-mural grants and awards should contain information about whether they were competitive, amount of award, and the role played by the candidate in the proposal stage and in grant administration. External evaluations by grantees may be included, if available.
- Evidence of service activities will contain information the candidate submits showing evidence of service to department, college, university, profession, and various communities.
- These materials (i.e., syllabi, copies of publications) should be placed in Section 10.2 – Supplemental Materials in the OneDrive Dossier.

All candidates for tenure and/or promotion must meet department, college, and university criteria in effect at the time of the application.

**External Peer Review.** Both tenure and promotion to associate professor and 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 candidate's scholarship and research. It is expected that the external reviewers will be selected from peer or comparable institutions with national reputations in the faculty member's discipline. It is expected that faculty of superior rank will review faculty of lower rank. For example, full professors should review applicants for promotion to professor. These reviewers should be recognized scholars in the candidate's area of research and should not be former mentors, professors, or close colleagues. Every effort should be made to eliminate biases for or against the candidate.

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.

Letters from external peer reviews evaluating the candidate's scholarly record must be solicited by

the department chair and included with the candidate's dossier (uploaded to the OneDrive folder) before it is forwarded to the Departmental Tenure and Promotion Committee and the college committee. In addition to a letter, external reviewers should provide a curriculum vitae that documents their professional accomplishments.

The candidate shall develop a list, normally four to eight names, of recommended peer reviewers from outside the University. In addition, the chair of the department and the Departmental Tenure and Promotion Committee will develop a list of outside peer reviewers. The department is solely responsible for supplementing the candidate's list with additional reviewers. Letters from at least six external reviewers should be requested; three from a list provided by the candidate and three selected by the chair in consultation with the Departmental Tenure and Promotion Committee. 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 external reviewer can be a past mentor or collaborator of the candidate. 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; a representative sample of the candidate's work (3 – 4 examples); the candidate's research statement; 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.

**Departmental Tenure and Promotion Committee.** The make-up and function of this committee, and the processes to be followed by this committee, are as follows:

1. This committee for assessment of candidates applying for tenure and promotion to Associate Professor will be composed of all full-time, tenured department faculty holding the rank of at least Associate Professor with the exception of the department chair. The committee for assessment of candidates who are being considered for promotion to Professor will consist of all full-time, tenured department faculty holding the rank of Professor with the exception of the department chair. The department adheres to the university rule of Single Participation: Departmental representatives to the College Tenure and Promotion Committee may vote at the departmental level, but cannot vote at the College level on candidates from their department. Spouses may not participate in committee discussions at any level.
2. The first meeting of this committee will be called each fall by the department chair, who will conduct the election of the chair of the committee. Subsequent meetings will be called by the committee chair. When all dossiers are complete, the committee chair will notify committee members that they are ready for review and set the date for the first committee deliberations.

3. Committee members will review candidates' dossiers by using the link provided by the Dean's office to access the OneDrive where candidates' materials have been uploaded.
4. Discussions of candidate's dossiers will take place in committee meetings. All discussions will be held in strict confidence. If additional information is required by the committee, the committee chair will first inform the department chair of this, and then request the information from the candidate.
5. Discussions should be objective and should adhere to the consideration of the candidate's accomplishments in the areas of teaching, scholarship, service, and overall collegiality. Accomplishments should be evaluated with respect to the quality of accomplishments, not merely the quantity, and within the context of the candidate's role and responsibilities. Per the University of Memphis Faculty Handbook, 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 for submission to the department chair.
6. Voting will be by secret ballot. Three-fourths of the committee membership constitutes a quorum and absent members may vote by proxy. The results of the voting together with a short narrative conveying the major recommendations and reasons for these recommendations will be given to the chair of the department. 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.

**Guidelines for Department Committee Evaluation for Promotion to Associate Professor with Tenure.** To be recommended for promotion to Associate Professor with Tenure, the candidate must have an established record of high-quality empirical scholarship in national or international peer-reviewed journals and must have begun to establish a national or international reputation for that scholarship. The quality of scholarship will be evidenced by publications such as articles in scholarly peer-reviewed journals and well-received books, and will be judged by internal faculty assessments and statements from external peer referees. Although not an absolute requirement for tenure or promotion, publishing in top-tier peer-reviewed journals in one's area is considered an especial mark of quality. In general, the candidate will also be expected to clearly demonstrate and articulate one or more theoretically-based lines of inquiry, to utilize designs of sufficient sophistication to extend the research in this area or these areas, to have a mix of empirical and non-empirical products, and to demonstrate ability to conduct independent research (e.g., some single-author or first-author peer-reviewed publications) as well as collaborative work with students and colleagues.

It is recognized that different products and types of research require different time investments, and this will be considered when evaluating the candidate's materials. For example, scholarly records that include fewer publications, but which include primarily first-author or single-author works, meta-analyses, longitudinal studies, engaged scholarship entailing intensive collaboration with community partners, grant applications, multi-year grants, or major theoretical papers that are typically considered time-consuming and substantive, could reduce the expectation for quantity of empirical publications. National and international presentations are important aspects of scholarship, but do not replace publications. It is also expected that a faculty member promoted to Associate Professor with tenure has demonstrated adequate or better performance in teaching as

described in the annual review criteria. A record of quality service to the department, college and/or university, professional associations, and appropriate communities is also expected. The candidate should have demonstrated collegiality and a willingness to work with colleagues in supporting the goals and missions of the department, college, and university.

**Department Chair Review.** 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 the reasons for these recommendations. When the chair meets with the candidate being considered for tenure or tenure and promotion, he/she should, per the *University of Memphis Faculty Handbook*, 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.**

#### **Election of Departmental Representatives to the COE Tenure and Promotion Committee.**

The CEPR Department will elect one representative to the COE Tenure and Promotion Committee for a two-year term that begins in the fall semester and ends at the conclusion of the full summer session. This member must be a tenured full professor or associate professor holding current full graduate faculty status. In addition, a second member will be elected for a one-year term every three years (this one-year position rotates among COE departments). The candidate with the highest number of votes will serve as the elected representative. If for any reason an elected representative cannot finish his/her term, the department chair will conduct a special election to select an alternate from the remaining eligible faculty.

#### **Promotion to Professor**

**Eligibility for Promotion to Professor.** The department chair has the responsibility of initiating the promotion to Professor for eligible departmental faculty, although a faculty member may submit his or her name to the chair. Faculty members must meet the minimum eligibility requirements for Professor as delineated in the most recent *University of Memphis Faculty Handbook*. At the beginning of each fall semester, faculty going forward for promotion should be supplied with copies of the department, college, and university Tenure and Promotion Policies, review forms for promotion and tenure, and deadlines for submitting dossiers. The names of faculty members to be considered for promotion to Professor will be forwarded to the Departmental Tenure and Promotion Committee for Promotion to Professor. After receiving the recommendations of the Departmental Tenure and Promotion Committee, the chair will make his/her own recommendation and forward both recommendations to the College Tenure and

Promotion Committee.

**Dossier for Promotion to Professor.** Each candidate must present a dossier of materials in support of the promotion prepared according to format described above under Promotion to Associate Professor with Tenure. Supporting materials should emphasize accomplishments since the last promotion, and the inclusion of non-essential documents is discouraged. The candidate, in close consultation with the department chair (or department member appointed by the chair), prepares the appropriate review forms and the dossier to be submitted.

**Evaluation for Promotion to Professor.** To be recommended for promotion to Professor, the candidate must have an established record of distinguished empirical scholarship that has resulted in national or international scholarly recognition. The scholarship will be evidenced by publications, either articles in scholarly peer-reviewed journals or well-received books. The quality of scholarship will be judged by internal faculty assessments and statements from external peer referees, who are to be selected utilizing the process described above under Promotion to Associate Professor with Tenure. Although not an absolute requirement for promotion to professor, publishing in top-tier peer-reviewed journals in one's area is considered an especial mark of quality. In general, the faculty member will also be expected to have made distinguished contributions to one or more theoretically-based lines of inquiry and to have utilized sophisticated research designs to extend the research in this area or these areas. A balance of single-author or first-author peer-reviewed publications and evidence of collaborative scholarship (second or third authorship) with students and colleagues is also expected. It is recognized that different products and types of research require different time investments, and this will be considered when evaluating the candidate's materials. For example, a meta-analysis, longitudinal study, major theoretical paper, engaged scholarship entailing intensive collaboration with community partners, grant application, multi-year grants, or major book typically would be considered time-consuming and substantive and would reduce the expectation for quantity of empirical publications. It is also expected that a faculty member promoted to Professor has demonstrated adequate or better performance in teaching as described in the annual review criteria. A record of quality service to the department, college and/or university, professional associations, and appropriate communities is also expected. The candidate should have demonstrated collegiality and a willingness to work with colleagues in supporting the goals and missions of the department, college, and university.

### **Clinical Professors**

**General Criteria for Appointment to Clinical Positions.** Both tenure-track faculty and non-tenure-track faculty are expected to exhibit high standards of professional performance, integrity, and collegiality and to further the goals of their department and college. In addition, a clinical faculty member must have an appropriate degree, or its equivalent in training and experience; a strong commitment to higher education and in particular to the mission of the University of Memphis, and a willingness to assume the responsibilities and obligations appropriate to a professional or faculty university employee. The following criteria are utilized for appointments in clinical professor positions:

1. Clinical Instructor: A faculty member with a minimum of a professional master's degree appropriate for the discipline, who possesses the potential for successful performance in clinical or service activity in a university environment.

2. Assistant Clinical Professor: A faculty member with a terminal degree in the discipline, who possesses the potential for successful performance in clinical or service activity in a university environment.
3. Associate Clinical Professor: A faculty member who has met the criteria for Assistant Clinical Professor and has consistently demonstrated an ability to perform at a level of excellence appropriate for the rank in clinical or service activity.
4. Clinical Professor: A faculty member who has demonstrated sustained excellence in clinical or service activity.

### **Promotion of Non-Tenure Track Clinical Faculty**

Clinical faculty appointments may be assigned the ranks of clinical instructor, clinical assistant professor, clinical associate professor, and clinical professor. Full-time, non-tenure track clinical faculty members are eligible for promotion consideration according to the following schedule:

- After three years in the rank of clinical instructor and attainment of a terminal degree, the faculty member is eligible for promotion to clinical assistant professor;
- After five years in the rank of clinical assistant professor, the faculty member is eligible for promotion to clinical associate professor;
- After five years in the rank of clinical associate professor, the faculty member is eligible for promotion to clinical professor.

This promotion schedule may be shortened with the concurrence of the department and the dean of the College of Education

From time to time, clinical 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.

Clinical faculty serving on non-tenure contracts will be evaluated for promotion based on success in their assigned responsibilities in service, teaching, and scholarship as depicted in their job description and yearly contract, and as evaluated by criteria enumerated above, as well as by their collegiality. Application for promotion is initiated at the department level by the department chair and follows a review process identical to the review process of tenure-track faculty, delineated above. Promotional criteria for clinical faculty are as follows.

**Evaluation for Promotion to Clinical Associate Professor.** To be recommended for promotion to Clinical Associate Professor, the candidate must have an established record of high-quality clinical service that clearly meets the service expectations delineated in his or her employment contract. Additionally, the candidate must have at least adequate teaching ratings. If scholarship activities were included in the employment contract, the candidate must have demonstrated a record of empirical scholarship that at minimum meets the criteria for maintaining graduate faculty status.

**Evaluation for Promotion to Clinical Professor.** To be recommended for promotion to Clinical Professor, the candidate must have demonstrated a sustained record of outstanding or distinguished service that goes beyond the criteria stipulated in his/her annual contract. It is also expected that a faculty member promoted to Professor has demonstrated adequate or better performance in teaching as described in the annual review criteria. The candidate should have demonstrated collegiality and a willingness to work with colleagues in supporting the goals and missions of the department, college, and university. If scholarship activities were included in the employment contract, the candidate must have established a record of empirical scholarship that exceeds the criteria for maintaining graduate faculty status.

### **Non-Renewal of Clinical Faculty Appointments**

Clinical 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 appointment does not necessarily carry an implication of unsatisfactory work or conduct. A faculty member whose clinical 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 faculty whose annual appointments will not be renewed will be given written notice of non-renewal of their appointment contracts in conformance with the schedule stated in the Faculty Handbook:

- 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 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 faculty member for cause prior to the expiration of the one-year term of the appointment.

## Appendix A

### Tenure & Promotion Dossier Guidelines for OneDrive

March 2, 2013

(Links updated September 22, 2015)

(OneDrive update December 4, 2019)

#### Section 1 – Introduction

The purpose of this guide is to help Faculty Members through the process of submitting their Tenure & Promotion (T&P) Dossier via the University’s OneDrive (i.e., the “electronic dossier”). This guide should not be treated as a complete ‘How-To’ document but rather a guide for *how most departments complete this process*. Some departments may have methods and procedures which vary from what you will find in this guide. Always make sure to check with your Department or College Administrator to make sure you are using the correct process.

#### Section 2 – OneDrive

The University’s OneDrive will be used to house your dossier throughout its completion. Each department has its own method for gaining access to your assigned folder; this information will be provided to you by your Department of College administrator. You will be provided with access rights to this folder during times in which you are expected to upload documents. After you submit your dossier to your department, your access will be removed. If you wish to keep copies of any portions of the dossier for later reference, save them separately from the dossier.

#### Section 3 – File Types

When uploading documents to complete your dossier, it is recommended you use one of the following file types: PDF, DOC, DOCX, JPG, JPEG, XLS, and XLSX. Using any other file types may complicate the review of your dossier. If you have any issues publishing files in any of the aforementioned file types, please contact the University of Memphis ServiceDesk by calling (901)678.8888 for assistance.

#### Section 4 – Creating and Structuring Your Dossier

A complete dossier consists of several individual documents spread across a number of major sections. Each document will be covered in detail in its associated section along with relevant information in the **Dossier List of Required Documents**. In most cases, the submission of your dossier should follow the document structure listed in Section 5. **Note:** Some documents are situational and may not be included in every dossier. Consult with your Department or College Administrator if you have any questions.

#### Section 5 Dossier List of Required Documents

The following is a detailed list of all necessary documents required for a complete dossier listed in the order in which they should appear in your dossier folder. Be sure to use the numbering system indicated below when you name your documents. Do NOT create subfolders within your dossier.

### **Dossier List of Required Documents**

<b>Name of Document</b>	<b>Responsible for Uploading</b>	<b>Notes</b>
1.1 – Recommendation Signature Page	Department	Scan and upload signed form. Must have Department Chair and Committee Chair signatures.
1.2 – Appointment History Form	Applicant	<a href="https://www.memphis.edu/aa/resources/facres/tenurepromotion/">https://www.memphis.edu/aa/resources/facres/tenurepromotion/</a>
1.3 – Early Tenure memo or Stop the Clock memo	Applicant	Optional, Most Faculty will not have either of these.
2.1 – Statement from the Dean	Dean's Office	
2.2 – Statement from the College, School Committee	Dean's Office	
3.1 – Statement from the Department Chair, Area Head	Department	
3.2 – Statement from the Department, Area Committee	Department	
4.1 – External Review Letter	Department	Add as many 4.1 Documents as necessary. Scan and upload.
4.2 – Summary of Credentials of External Evaluators	Department	Use format in Faculty Handbook
4.3 – Copy of Solicitation Letter to External Evaluators	Department	Use format in Faculty Handbook
5.1 – Initial Appointment Letter	Applicant	Scan and upload
5.2 – Annual Evaluations	Applicant	Add as many 5.2 Documents as necessary. Scan and upload. Any non-electronic evaluations, marking out your SSN.
5.3 – Mid-tenure Evaluation Statement by Department	Applicant	Scan and upload
5.4 – Mid-tenure Evaluation Statement by Chair	Applicant	Scan and upload
6.1 – Instruction – Summary of Teaching Responsibility, Philosophy	Applicant	
6.2 – SIRS Summary Sheet	Applicant	<a href="https://www.memphis.edu/aa/resources/facres/tenurepromotion/">https://www.memphis.edu/aa/resources/facres/tenurepromotion/</a> . Newer faculty may not have SIRS.
6.3 – SETE Summary Sheet	Applicant	<a href="https://www.memphis.edu/aa/resources/facres/tenurepromotion/">https://www.memphis.edu/aa/resources/facres/tenurepromotion/</a>

6.4 – Peer Evaluations of Teaching	Applicant	Only if department provides these; do not solicit them.
6.5 – Teaching Honors and Awards	Applicant	List only, do not attach copies of certificates, letters, etc.
7.1 – Research, Scholarship, Creative Activity – Brief Summary of Accomplishments and Plans	Applicant	
7.2 – Internal Grants and Contracts	Applicant	List only, do not attach copies of proposals, award letters, etc.
7.3 – External Grants and Contracts	Applicant	List only, do not attach copies of proposals, award letters, etc.
7.4 – Peer Evaluations of Research, Scholarship, Creative Activity	Applicant	Only if department provides these; do not solicit them
7.5 – Honors and Awards	Applicant	
8.1 – Service, Outreach, Advising, Mentoring, Administration – Brief Summary of Responsibilities and Accomplishments	Applicant	
8.2 – Internal Grants and Contracts	Applicant	
8.3 – External Grants and Contracts	Applicant	
8.4 – Peer Evaluations of Service, Outreach, Advising, Mentoring, Administration	Applicant	
8.5 – Honors and Awards	Applicant	
9.0 – University Curriculum Vitae	Applicant	<a href="https://umwa.memphis.edu/fcv/mycv.php">https://umwa.memphis.edu/fcv/mycv.php</a>
10.1 – List of Supplemental Materials	Applicant	Optional. Many Faculty Members will not have supplemental materials.
10.2 – Supplemental Materials	Applicant	Optional. Add as many 10.2 Documents as necessary. Many Faculty Members will not have supplemental materials. Hard copies of supplemental materials may be house in department or electronic copies may be uploaded here.

## Appendix B

### Suggested Deadlines for Third Year and T & P Evaluation Process\*

<b>Task</b>	<b>Estimated Time Frame</b>	<b>Recipient</b>
Begin creating online folders (OneDrive, Dropbox) and uploading relevant T & P evaluation materials	At start of employment	
Obtain link for OneDrive Third-Year Review Dossier and begin uploading your materials	December of third year	Obtain link from Dean's Office, College of Education
Submit Third-Year Review materials	First day of classes, Spring semester of the third year	Online OneDrive folders
Send an email stating your intention to submit your materials for Tenure and Promotion	First week of March of the fifth year	Assistant Dean, College of Education (cc the COE Dean and the CEPR Department Chair)
Obtain link for OneDrive T & P Dossier and begin uploading your materials	Mid-spring (March) of the fifth year	Obtain link from Dean's Office, College of Education
Send a list of 4 – 8 names of possible external reviewers	April/Beginning of May of the fifth year	Department Chair
Have materials ready to send to external reviewers (CV, research statement, sample publications)	Middle of May of the fifth year	Department Chair
Submit Tenure and Promotion materials	First day of classes, Fall semester of the sixth year	Online OneDrive folders

\*Suggested time periods (3<sup>rd</sup> year, 5<sup>th</sup> year) are based on typical review process and do not take into account deviations that might accompany being hired with credit toward tenure, stopping the clock, etc.